

Draft FY 2022–2024 CCDF Preprint Questions Crosswalked with CCDBG Statute and CCDF Final Rule Requirements

FY 2022–2024 CCDF Preprint Question Number	FY 2022–2024 CCDF Preprint Question	Citation from Statute	CCDBG Statutory Provision	Citation from Final Rule	Final Rule Provision
1.1.1	Which Lead Agency is designated to administer the CCDF program?	658E(c)(1)	Lead Agency: The State plan shall identify the Lead Agency designated or established under section 658D.	98.16(a)	A CCDF Plan shall contain the following: (a) Specification of the Lead Agency whose duties and responsibilities are delineated in § 98.10
1.1.1		658D(a)	(a) Designation – The Governor of a State desiring to receive a grant under this subchapter shall designate an agency (which may be an appropriate collaborative agency), or establish a joint interagency office, that compiles with the requirements of subsection (b) to serve as the lead agency for the State under this subchapter.		
1.1.2	Who is the CCDF Administrator?				
1.2.1	Which of the following CCDF program rules and policies are administered (i.e., set or established) at the state or territory level or local level?	658D(b)	(b) Duties – (1) In general – The lead agency shall – (A) administer, directly or through other State governmental or nongovernmental agencies, the financial assistance received under this subchapter by the State; ...	98.16(d)(1)	A CCDF Plan shall contain the following: A description of how the CCDF program will be administered and implemented, if the Lead Agency does not directly administer and implement the program; ...
1.2.2	Complete the table below to identify which entity(ies) implements or performs CCDF services.			98.16(d)(1)	A CCDF Plan shall contain the following: A description of how the CCDF program will be administered and implemented, if the Lead Agency does not directly administer and implement the program; ...
1.2.3	Describe the processes the Lead Agency uses to monitor CCDF administration and implementation responsibilities performed by other agencies as reported above in 1.2.2.			98.16(b)	A CCDF Plan shall contain the following: (b) A description of processes the Lead Agency will use to monitor administrative and implementation responsibilities undertaken by agencies other than the Lead Agency including descriptions of written agreements, monitoring and auditing procedures, and indicators or measures to assess performance pursuant to § 98.11(a)(3); ...

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1.2.4	Upon request and to the extent practicable and appropriate ... Assure by describing how the Lead Agency makes child care information systems (for example, subsidy, registry and QRIS systems) available to public agencies in other states.			98.15(a)(11)	The Lead Agency shall include the following assurances in its CCDF Plan: (11) To the extent practicable and appropriate, any code or software for child care information systems or information technology that a Lead Agency or other agency expends CCDF funds to develop must be made available upon request to other public agencies, including public agencies in other States, for their use in administering child care or related programs.
1.2.5	Certify by describing the Lead Agency's policies related to the use and disclosure of confidential and personally identifiable information.			98.15(b)(13)	The Lead Agency shall include the following certifications in its CCDF Plan: (13) There are in effect policies to govern the use and disclosure of confidential and personally-identifiable information about children and families receiving CCDF assistance and child care providers receiving CCDF funds.
1.3.1	Describe the Lead Agency's consultation in the development of the CCDF plan.	658E(c)(2)(P)	Public-Private Partnerships. — The plan shall demonstrate how the State encourages partnerships among State agencies, other public agencies, Indian tribes and tribal organizations, and private entities, including faith-based and community-based organizations, to leverage existing service delivery systems (as of the date of the submission of the application containing the plan) for child care and development services and to increase the supply and quality of child care services for children who are less than 13 years of age, such as by implementing voluntary shared services alliance models.	98.16(e)	A CCDF Plan shall contain the following: e) A description of the coordination and consultation processes involved in the development of the Plan and the provision of services, including a description of public-private partnership activities that promote business involvement in meeting child care needs pursuant to § 98.14; ...
1.3.1 a	Describe how the Lead Agency consulted with appropriate representatives of general purpose local governments.	658D(b)(2)	In general – The Lead Agency shall – Development of plan – In the development of the State plan described in paragraph (1)(B), the lead agency shall consult with appropriate representatives of units of general purpose local government.	98.10(c)	Consult with appropriate representatives of local government in developing a Plan to be submitted to the Secretary pursuant to § 98.14(b); ...
				98.14(b)	Consult with appropriate representatives of local governments; ...
				98.12(b)	Consult, in accordance with § 98.14 (b), with representatives of general purpose local government during the development of the Plan;

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1.3.1 b	Describe how the Lead Agency consulted with the State Advisory Council or similar coordinating body.	658E(c)(2)(R)	Consultation.—The plan shall include a certification that the State has developed the plan in consultation with the State Advisory Council on Early Childhood Education and Care designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)).	98.15(b)(1)	The Lead Agency shall include the following certifications in its CCDF Plan: (1) The State has developed the CCDF Plan in consultation with the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body, pursuant to § 98.14(a)(1)(vii); ...
				98.14(a)(1)(vii)	State Advisory Council on Early Childhood Education and Care (designated or established pursuant to the Head Start Act (42 U.S.C. 9831 et seq.)) or similar coordinating body; ...
1.3.1 c	Describe, if applicable, how the Lead Agency consulted with Indian tribes(s) or tribal organizations within the state.	658D(b)(1)(E)	In general – The Lead Agency shall – at the option of an Indian tribe or tribal organization in the State, collaborate and coordinate with such Indian tribe or tribal organization in the development of the State plan in a timely manner.		
1.3.2	Describe the statewide or territory-wide public hearing process held to provide the public with an opportunity to comment on the provision of child care services under this Plan.	658D(b)(1)(C)	In general – The Lead Agency shall – in conjunction with the development of the State plan as required under subparagraph (B), hold at least one hearing in the State with sufficient time and Statewide distribution of the notice of such hearing to provide to the public an opportunity to comment on the provision of child care services under the State plan; ...	98.16(f)	The CCDF Plan shall contain the following: (f) A description of the public hearing process, pursuant to § 98.14(c); ...
1.3.3	Lead Agencies are required to make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (i.e., waivers) publicly available on a website ...			98.14(d)	In the development of each Plan, as required pursuant to § 98.17, the Lead Agency shall: (d) Make the submitted and final Plan, any Plan amendments, and any approved requests for temporary relief (in accordance with § 98.19) publicly available on a Web site.

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1.4.1	Describe how the Lead Agency coordinates the provision of child care services with the following programs to expand accessibility and continuity of care and to assist children enrolled in early childhood programs in receiving full-day services that meet the needs of working families.	658E(c)(2)(O)	Coordination with Other Programs. (i) In General.—The plan shall describe how the State, in order to expand accessibility and continuity of care, and assist children enrolled in early childhood programs to receive full-day services, will efficiently, and to the extent practicable, coordinate the services supported to carry out this subchapter with programs operating at the Federal, State, and local levels for children in preschool programs, tribal early childhood programs, and other early childhood programs, including those serving infants and toddlers with disabilities, homeless children, and children in foster care.	98.14 (a)	In the development of each Plan, as required pursuant to § 98.17, the Lead Agency shall: (a)(1) Coordinate the provision of child care services with other Federal, State, and local child care and early childhood development programs (including such programs for the benefit of Indian children, infants and toddlers, children with disabilities, children experiencing homelessness, and children in foster care) to expand accessibility and continuity of care as well as full-day services. The Lead Agency shall also coordinate the provision of services with the State, and if applicable, tribal agencies responsible for: (i) Public health, including the agency responsible for immunizations (ii) Employment services/workforce development; (iii) Public education (including agencies responsible for prekindergarten services, if applicable, and early intervention and preschool services provided under Part B and C of the Individuals with Disabilities Education Act (20 U.S.C. 1400)); (iv) Providing Temporary Assistance for Needy Families; (v) Child care licensing; (vi) Head Start collaboration, as authorized by the Head Start Act (42 U.S.C. 9831 et seq.); (vii) State Advisory Council on Early Childhood Education and Care (designated or established pursuant to the Head Start Act (42 U.S.C. 9831 et seq.)) or similar coordinating body; (viii) Statewide after-school network or other coordinating entity for out-of-school time care (if applicable);
				98.12(c)	The Lead Agency shall: Coordinate, to the maximum extent feasible, [per § 98.10(f)] with any Indian Tribes in the State receiving CCDF funds in accordance with subpart I of this part.
				98.14 (a)(2)	In the development of each plan ... the Lead Agency shall Provide a description of the results of the coordination with each of these agencies in the CCDF Plan ...
1.5.1	Does the Lead Agency choose to combine funding for CCDF services for any required early childhood program?	658E(c)(2)(O)(ii)	Optional Use of Combined Funds.—If the State elects to combine funding for the services supported to carry out this subchapter with funding for any program described in clause (i), the plan shall describe how the State will combine the multiple sets of funding and use the combined funding.	98.14 (a)(3)	If the Lead Agency elects to combine funding for CCDF services with any other early childhood program, provide a description in the CCDF Plan of how the Lead Agency will combine and use the funding.

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1.5.2 c	Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements.			98.16(d)(2)	A CCDF Plan shall contain the following: Identification of the public or private entities designated to receive private donated funds and the purposes for which such funds will be expended, pursuant to § 98.5{3}{5}(f); ...
1.5.2	Which of the following funds does the Lead Agency intend to use to meet the CCDF matching and MOE requirements described in 98.55(e) and 98.55(h)?			98.55(h)(2)	Public pre-kindergarten (pre-K) expenditures: May be eligible for Federal match if the State includes in its Plan, as provided in § 98.16({q}[w]), a description of the efforts it will undertake to ensure that pre-K programs meet the needs of working parents.
				98.55(h)(4)	If applicable, the CCDF Plan shall reflect the State's intent to use public pre-K funds in excess of 10%, but not for more than 20% of its maintenance-of-effort or 30% of its State matching funds in a fiscal year. Also, the Plan shall describe how the State will coordinate its pre-K and child care services to expand the availability of child care.
				98.16(d)(2)	A CCDF Plan shall contain the following: Identification of the public or private entities designated to receive private donated funds and the purposes for which such funds will be expended, pursuant to § 98.5{3}{5}(f); ...
1.5.2 e i	Assure by describing how the Lead Agency did not reduce its level of effort in full-day/full-year child care services..			98.15(a)(6)	The Lead Agency shall include the following assurances in its CCDF Plan: (6) That if expenditures for pre-Kindergarten services are used to meet the maintenance-of-effort requirement, the State has not reduced its level of effort in full-day/full-year child care services, pursuant to § 98.55(h)(1).
1.5.2 e ii	Describe the Lead Agency efforts to ensure that Prekindergarten programs meet the needs of working parents.			98.16(w)(1)	A CCDF Plan shall contain the following: When any Matching funds under § 98.5{5}(b) are claimed, a description of the efforts to ensure that pre-Kindergarten programs meet the needs of working parents; ...
1.5.2 e iv	If the percentage is more than 10 percent of the MOE requirement, describe how the state will coordinate Prekindergarten and child care services to expand the availability of child care.			98.16(w)(2)	A CCDF Plan shall contain the following: When State pre-Kindergarten expenditures are used to meet more than 10% of the amount required at § 98.5{5}(c)(1), or for more than 10% of the funds available at § 98.5{5}(b), or both, a description of how the State will coordinate its pre-Kindergarten and child care services to expand the availability of child care; ...

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1.6.1	Identify and describe any public-private partnerships encouraged by the Lead Agency to leverage public and private resources to further the goals of the CCDBG Act. Include in the response any public-private partnerships that have emerged from the response to the COVID-19 pandemic (98.16(d)(2)) and if applicable, how those partnerships will be continued post-pandemic	658E(c)(2)(P)	Public-Private Partnerships.—The plan shall demonstrate how the State encourages partnerships among State agencies, other public agencies, Indian tribes and tribal organizations, and private entities, including faith-based and community-based organizations, to leverage existing service delivery systems (as of the date of the submission of the application containing the plan) for child care and development services and to increase the supply and quality of child care services for children who are less than 13 years of age, such as by implementing voluntary shared services alliance models.	98.14 (a)(4)	Demonstrate in the CCDF Plan how the State, Territory, or Tribe encourages partnerships among its agencies, other public agencies, Indian Tribes and Tribal organizations, and private entities, including faith-based and community-based organizations, to leverage existing service delivery systems for child care and development services and to increase the supply and quality of child care and development services and to increase the supply and quality of child care services for children who are less than 13 years of age, such as by implementing voluntary shared service alliance models.
1.7.1	Does the Lead Agency fund a system of local or regional CCR&R organizations?	658E(c)(3)(B)(iii)	In General.—A State may use amounts described in clause i) to establish or support a system of local or regional child care resource and referral organizations that is coordinated, to the extent determined appropriate by the State, by a statewide public or private nonprofit, community-based or regionally based, lead child care resource and referral organization.	98.52(a)	A Lead Agency may expend funds to establish or support a system of local or regional child care resource and referral organizations that is coordinated, to the extent determined appropriate by the Lead Agency, by a statewide public or private nonprofit, community-based or regionally based, lead child care resource and referral organization.
1.8.1	Did you make any updates to the Statewide Disaster Plan since the FY 2019-2021 CCDF Plan was submitted?.	658E(c)(2)(U)(ii)	Statewide Child Care Disaster Plan.—Such plan shall include a statewide child care disaster plan for coordination of activities and collaboration, in the event of an emergency or disaster described in clause (i), among the State agency with jurisdiction over human services, the agency with jurisdiction over State emergency planning, the State lead agency, the State agency with jurisdiction over licensing of child care providers, the local resource and referral organizations, the State resource and referral system, and the State Advisory Council on Early Childhood Education and Care as provided for under section 642B(b) of the Head Start Act (42 U.S.C. 9837b(b)) ...	98.16(aa)(1)	A CCDF Plan shall contain the following: For a State, is developed in collaboration with the State human services agency, the State emergency management agency, the State licensing agency, the State health department or public health department, local and State child care resource and referral agencies, and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body; and ...
1.8.2	To demonstrate continued compliance with the required elements in the Statewide Disaster Plan, certify by checking the required elements included in the current State Disaster Preparedness and Response Plan.	658E(c)(2)(U)(i)	In General.—The plan shall demonstrate the manner in which the State will address the needs of children in child care services provided through programs authorized under this subchapter, including the need for safe child care, for the period before, during, and after a state of emergency declared by the Governor or a major disaster or emergency (as such terms are defined in section 102 of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5122)).		

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1.8.2 b	The plan includes guidelines for the continuation of child care subsidies	658E(c)(2)(U)(iii)(II)	Disaster Plan Components.—The components of the disaster plan, for such an emergency or disaster, shall include—guidelines for the continuation of child care services in the period following the emergency or disaster, which may include the provision of emergency and temporary child care services, and temporary operating standards for child care providers during that period; ...	98.16(aa)(2)(i)	A CCDF Plan shall contain the following: ... Includes the following components: (i) Guidelines for continuation of child care subsidies and child care services, which may include the provision of emergency and temporary child care services during a disaster, and temporary operating standards for child care after a disaster; ...
1.8.2 c	The plan includes guidelines for the continuation of child care services.	658E(c)(2)(U)(ii)	Disaster Plan Components.—The components of the disaster plan, for such an emergency or disaster, shall include—Statewide Child Care Disaster Plan.—Such plan shall include a statewide child care disaster plan for coordination of activities and collaboration, in the event of an emergency or disaster described in clause (i), among the State agency with jurisdiction over human services, the agency with jurisdiction over State emergency planning, the State lead agency, the State agency with jurisdiction over licensing of child care providers, the local resource and referral organizations, the State resource and referral system, and the State Advisory Council on Early Childhood Education and Care as provided for under section 642B(b) of the Head Start Act (42 U.S.C. 9837b(b)) ...	98.16(aa)(2)(ii)	A CCDF Plan shall contain the following: ... Includes the following components: (ii) Coordination of post-disaster recovery of child care services; and ...
1.8.2 e	The plan contains requirements for all CCDF providers (both licensed and license-exempt) to have in place	658E(c)(2)(U)(iii)(I)	Disaster Plan Components.—The components of the disaster plan, for such an emergency or disaster, shall include—evacuation, relocation, shelter-in-place, and lock-down procedures, and procedures for communication and reunification with families, continuity of operations, and accommodation of infants and toddlers, children with disabilities, and children with chronic medical conditions ...	98.16(aa)(2)(iii)(A)	A CCDF Plan shall contain the following: (iii) Requirements that child care providers of services for which assistance is provided under the CCDF, as well as other child care providers as determined appropriate by the State, Territory or Tribe, have in place: (A) Procedures for evacuation, relocation, shelter-in-place, lock-down, communication and reunification with families, continuity of operations, accommodations of infants and toddlers, children with disabilities, and children with chronic medical conditions; and ...
1.8.2 f	The plan contains procedures for staff and volunteer emergency preparedness training.	658E(c)(2)(U)(iii)(III)	Disaster Plan Components.—The components of the disaster plan, for such an emergency or disaster, shall include—procedures for staff and volunteer emergency preparedness training and practice drills.	98.16(aa)(2)(iii)(B)	A CCDF Plan shall contain the following: (B) Procedures for staff and volunteer emergency preparedness training and practice drills, including training requirements for child care providers of services for which assistance is provided under CCDF at § 98.41(a)(1)(vii); ...
1.8.3	Provide the link to the website where the statewide child care disaster plan is available				

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2.1.1	Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families for whom English is not their first language.			98.16(dd)	A CCDF Plan shall contain the following: A description of how the Lead Agency will provide outreach and services to eligible families with limited English proficiency and persons with disabilities and facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system; ...
2.1.2	Check the strategies the Lead Agency or partners utilize to provide outreach and services to eligible families with a person(s) with a disability.			98.16(dd)	A CCDF Plan shall contain the following: A description of how the Lead Agency will provide outreach and services to eligible families with limited English proficiency and persons with disabilities and facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system; ...
2.2.1	Describe the Lead Agency's hotline or similar reporting process through which parents can submit complaints about child care providers, including a link if it is a Web-based process.			98.16(s)	A CCDF Plan shall contain the following: A detailed description of the State's hotline for complaints, its process for substantiating and responding to complaints, whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers, how the State maintains a record of substantiated parental complaints, and how it makes information regarding those complaints available to the public on request, pursuant to § 98.32; ...
2.2.2	For complaints regarding all providers, including CCDF providers and non-CCDF providers, describe the Lead Agency's process and timeline for screening, substantiating and responding to complaints. Describe whether the process includes monitoring and highlight any differences in processes for CCDF and non-CCDF providers.			98.16(s)	A CCDF Plan shall contain the following: A detailed description of the State's hotline for complaints, its process for substantiating and responding to complaints, whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers, how the State maintains a record of substantiated parental complaints, and how it makes information regarding those complaints available to the public on request, pursuant to § 98.32; ...
				98.32 (d)	The Lead Agency shall provide a detailed description [in the Plan] of how: (1) Complaints are substantiated and responded to, including whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers; and, (2) A record of substantiated complaints is maintained and is made available.

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2.2.3	Certify by describing how the Lead Agency maintains a record of substantiated parental complaints.			98.16(s)	A CCDF Plan shall contain the following: A detailed description of the State's hotline for complaints, its process for substantiating and responding to complaints, whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers, how the State maintains a record of substantiated parental complaints, and how it makes information regarding those complaints available to the public on request, pursuant to § 98.32;
				98.32 (d)	The Lead Agency shall provide a detailed description [in the Plan] of how: (1) Complaints are substantiated and responded to, including whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers; and, (2) A record of substantiated complaints is maintained and is made available.
2.2.4	Certify by describing how the Lead Agency makes information about substantiated parental complaints available to the public; this information can include the consumer education website discussed in section 2.3.			98.16(s)	A CCDF Plan shall contain the following: A detailed description of the State's hotline for complaints, its process for substantiating and responding to complaints, whether or not the State uses monitoring as part of its process for responding to complaints for both CCDF and non-CCDF providers, how the State maintains a record of substantiated parental complaints, and how it makes information regarding those complaints available to the public on request, pursuant to § 98.32; ...
				98.15(b)(3)	The Lead Agency shall include the following certifications in its CCDF Plan ... As required by § 98.32, the State maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request; ...
2.2.5	Provide the citation to the Lead Agency's policy and process related to parental complaints.				

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2.3.1	Describe how the Lead Agency ensures that its website is consumer-friendly and easily accessible.	658 E(c)(2)(D)	The plan shall include certification that the State, not later than 1 year after the State has in effect the policies and practices described in subparagraph (K)(i), will make public by electronic means, in a consumer-friendly and easily accessible format, organized by provider, the results of monitoring and inspection reports, including those due to major substantiated complaints about failure to comply with this subchapter and State child care policies, as well as the number of deaths, serious injuries, and instances of substantiated child abuse that occurred in child care settings each year, for eligible child care providers within the State. The results shall also include information on the date of such an inspection, and, where applicable, information on corrective action taken.	98.33 (a)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities ...
2.3.2	Describe how the website ensures the widest possible access to services for families that speak languages other than English (98.33(a).			98.33 (a)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, ...
2.3.3	Describe how the website ensures the widest possible access to services for persons with disabilities.			98.33(a)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, ...
2.3.4	Provide the specific website links to the descriptions of the Lead Agency's processes related to child care.	658 E(c)(2)(E)(i)(III)	The plan shall include a certification that the State will collect and disseminate ... (i) information about the availability of the full diversity of child care services that will promote informed child care choices and that concerns ... (III) information, made available through a State Web site, describing the State process for licensing child care providers, the State processes for conducting background checks, and monitoring and inspections, of child care providers, and the offenses that prevent individuals and entities from serving as child care providers in the State; ...	98.33(a)(1)(i)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, including: (1) Lead Agency processes, including: (i) The process for licensing child care providers pursuant to § 98.40 ...

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2.3.5	How does the Lead Agency post a localized list of providers searchable by zip code on its website?	658L(b)(2)(A)	(b) National Toll-Free Hotline and Web Site.— (1) In General.—The Secretary shall operate, directly or through the use of grants or contracts, a national toll-free hotline and Web site, to— (A) develop and disseminate publicly available child care consumer education information for parents and help parents access safe and quality child care services in their community, with a range of price options, that best suits their family's needs; and *Note: This is a provision for the National Website and guidance has been provided that directs states to comply to align to these search requirements.	98.33 (a)(2)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, including: ... (2) A localized list of all licensed child care providers, and, at the discretion of the Lead Agency, all eligible child care providers (other than an individual who is related to all children for whom child care services are provided), differentiating between licensed and license-exempt providers, searchable by zip code; ...
2.3.6	Lead Agencies must also identify specific quality information on each child care provider for whom they have this information.			98.33(a)(3)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, including: ... (3) The quality of a provider as determined by the Lead Agency through a quality rating and improvement system or other transparent system of quality indicators, if such information is available for the provider.
2.3.7	Lead Agencies must post monitoring and inspection reports on the consumer education website for each licensed provider and for each non-relative provider eligible to provide CCDF services.	658 E(c)(2)(D)	Monitoring and Inspection Reports.—The plan shall include certification that the State, not later than 1 year after the State has in effect the policies and practices described in subparagraph (K)(i), will make public by electronic means, in a consumer-friendly and easily accessible format, organized by provider, the results of monitoring and inspection reports, including those due to major substantiated complaints about failure to comply with this subchapter and State child care policies, as well as the number of deaths, serious injuries, and instances of substantiated child abuse that occurred in child care settings each year, for eligible child care providers within the State. The results shall also include information on the date of such an inspection, and, where applicable, information on corrective action taken.	98.15(b)(5)	The Lead Agency shall include the following certifications in its CCDF Plan: In accordance with § 98.33(a), that the State makes public through a consumer-friendly and easily accessible website, the results of monitoring and inspection reports, as well as the number of deaths, serious injuries and instances of substantiated child abuse that occurred in child care settings.

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				98.16(j)	A CCDF Plan shall contain the following: (j) A description of the activities to provide comprehensive consumer and provider education, including the posting of monitoring and inspection reports, pursuant to § 98.33, to increase parental choice, and to improve the quality of child care, pursuant to § 98.53; ...
2.3.8	This aggregate number of serious injuries, deaths and instances of substantiated abuse in child care must include information about any child in the care of a provider eligible to receive CCDF, not just children receiving subsidies.	658 E(c)(2)(D)	Monitoring and Inspection Reports.—The plan shall include certification that the State, not later than 1 year after the State has in effect the policies and practices described in subparagraph (K)(i), will make public by electronic means, in a consumer-friendly and easily accessible format, organized by provider, the results of monitoring and inspection reports, including those due to major substantiated complaints about failure to comply with this subchapter and State child care policies, as well as the number of deaths, serious injuries, and instances of substantiated child abuse that occurred in child care settings each year, for eligible child care providers within the State. The results shall also include information on the date of such an inspection, and, where applicable, information on corrective action taken.	98.15(b)(5)	The Lead Agency shall include the following certifications in its CCDF Plan: In accordance with § 98.33(a), that the State makes public through a consumer-friendly and easily accessible website, the results of monitoring and inspection reports, as well as the number of deaths, serious injuries and instances of substantiated child abuse that occurred in child care settings.
				98.16(ff)	A CCDF Plan shall contain the following: Designation of a State, territorial, or tribal entity to which child care providers must submit reports of any serious injuries or deaths of children occurring in child care, in accordance with §98.42(b)(4); ...
2.3.9	The consumer education website should include contact information on referrals to local child care resource and referral organizations.			98.33(a)(6)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, including: ... (6) Referrals to local child care resource and referral organizations.

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2.3.10	The consumer education website should include information on how parents can contact the Lead Agency, or its designee, or other programs that can help the parent understand information included on the website.			98.33(a)(7)	The Lead Agency shall: (a) Certify that it will collect and disseminate consumer education information to parents of eligible children, the general public, and providers through a consumer-friendly and easily accessible website that ensures the widest possible access to services for families who speak languages other than English and persons with disabilities, including: ... (7) Directions on how parents can contact the Lead Agency or its designee and other programs to help them understand information included on the website.
2.3.11	Provide the website link to the Lead Agency's consumer education website.				
2.4.1	How the Lead Agency shares information with eligible parents, the general public, and where applicable, child care providers about the availability of child care services provided through CCDF and other programs for which the family may be eligible, such as state preK, as well as the availability of financial assistance to obtain child care services.	658 E(c)(2)(E)(i)(I)	The plan shall include—information about the availability of the full diversity of child care services that will promote informed child care choices and that concerns—the availability of child care services provided through programs authorized by this subchapter and, if feasible, other child care services and other programs provided in the State for which the family may be eligible, as well as the availability of financial assistance to obtain child care services in the State; ...	98.15(b)(4)	The Lead Agency shall include the following certifications in its CCDF Plan: It will collect and disseminate to parents of eligible children, the general public and where applicable, child care providers, consumer education information that promote informed child care choices, information on access to other programs for which families may be eligible and information on developmental screenings as required by 98.33.
2.4.2	How the Lead Agency provides required information about the following programs and benefits to the parents of eligible children, the general public, and where applicable, providers.	658 E(c)(2)(E)(i)(I)	The plan shall include—information about the availability of the full diversity of child care services that will promote informed child care choices and that concerns—the availability of child care services provided through programs authorized by this subchapter and, if feasible, other child care services and other programs provided in the State for which the family may be eligible, as well as the availability of financial assistance to obtain child care services in the State; ...	98.15(b)(4)	The Lead Agency shall include the following certifications in its CCDF Plan: It will collect and disseminate to parents of eligible children, the general public and where applicable, child care providers, consumer education information that promote informed child care choices, information on access to other programs for which families may be eligible and information on developmental screenings as required by 98.33.
2.4.3	Describe how the Lead Agency makes information available on research and best practices concerning children's development, including physical health and development, particularly healthy eating and physical activity and information about successful parent and family engagement.	658 E(c)(2)(E)(i)(VI)	The plan shall include research and best practices concerning children's development, including social and emotional development, early childhood development, and meaningful parent and family engagement, and physical health and development (particularly healthy eating and physical activity); ...		

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2.4.4	Describe how information on the Lead Agency's policies regarding the social-emotional and behavioral issues and early childhood mental health of young children, including positive behavioral intervention and support models for those from birth to school age, are shared with families, providers, and the general public.	658 E(c)(2)(E)(i)(VII)	The plan shall include ... the State policies regarding the social-emotional behavioral health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children, in early childhood programs receiving assistance under this subchapter; ...		
2.4.5	Describe the Lead Agency's policies to prevent the suspension and expulsion of children from birth to age 5 in child care and other early childhood programs receiving CCDF funds, including how those policies are shared with families, providers, and the general public.	658 E(c)(2)(E)(i)(VII)	The plan shall include ... the State policies regarding the social-emotional behavioral health of young children, which may include positive behavioral intervention and support models, and policies on expulsion of preschool-aged children, in early childhood programs receiving assistance under this subchapter; ...	98.16(ee)	A CCDF Plan shall contain the following: A description of policies to prevent suspension, expulsion, and denial of services due to behavior of children birth to age five in child care and other early childhood programs receiving assistance under this part, which must be disseminated as part of consumer and provider education efforts in accordance with § 98.33(b)(1)(v); ...
2.5.1	Certify by describing how information is collected and disseminated on existing resources and services available on conducting developmental screenings to CCDF parents, and where applicable child care providers. Certify by describing the procedures for providing information on and referring families and child care providers to the Early and Periodic Screening, Diagnosis, and Treatment under the Medicaid program.	658 E(c)(2)(E)(ii)	The plan shall include ... information on developmental screenings, including ...	98.15 (b)(4)	The Lead Agency shall include the following certifications in its CCDF Plan: It will collect and disseminate to parents of eligible children, the general public and where applicable, child care providers, consumer education information that promote informed child care choices, information on access to other programs for which families may be eligible and information on developmental screenings as required by 98.33.
2.6.1	a. How and when the Lead Agency provides parents receiving CCDF funds with a consumer statement identifying the requirements for providers and the health and safety record of the provider they have selected. b. To demonstrate continued compliance with the consumer statement requirements certify by checking below the specific information provided to families either in hard copy or electronically.				
3.1.1 a	Eligibility criteria: Age of children served	658P(4)(A) Definitions	Eligible Child. ... The term 'eligible child' means an individual ... (A) who is less than 13 years of age; ...		

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3.1.1 b	Does the Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are physically and/or mentally incapable of self-care (658E(c)(3)(B); 658P(3))?	658E(c)(3)(B)(i)	In General. ... The State shall use amounts provided to the State for each fiscal year under this subchapter for child care services ... (ii) with priority being given for services provided to children of families with very low family incomes (taking into consideration family size) and to children with special needs.	98.16(g)(2)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (2) Physical or mental incapacity (if applicable); ...
3.1.1 c	Does the Lead Agency allow CCDF-funded child care for children ages 13 and older but below age 19 who are under court supervision ((658P(3); 658E(c)(3)(B))?)	658P(3) Definitions	(3) Child with a Disability. ... The term ‘child with a disability’ means ... (A) a child with a disability, as defined in section 602 of the Individuals with Disabilities Education Act (20 U.S.C. 1401); (B) a child who is eligible for early intervention services under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.); (C) a child who is less than 13 years of age and who is eligible for services under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794); and (D) a child with a disability, as defined by the State involved.		
3.1.1 d	How does the Lead Agency define the following eligibility terms?	658P(4)(C)(i) Definitions	(i) resides with a parent or parents who are working or attending a job training or educational program; or ...		A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (5) Residing with; ...
		658P(10) Definitions	Parent – The term ‘parent’ includes a legal guardian, foster parent, or other person standing in loco parentis.	98.16(g)(5)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (9) [I]{}n loco parentis[;] ...
3.1.2 a i	Eligibility criteria: Reason for care Define what is accepted as “Working” (including activities and any hour requirements):	658P(4)(C)(i) Definitions	(i) resides with a parent or parents who are working or attending a job training or educational program; or ...	98.16(g)(6)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (6) Working; ...
3.1.2 a ii & iii	Define what is accepted as “Job training” (including activities and any hour requirements): Define what is accepted as “Education” (including activities and any hour requirements):	658P(4)(C)(i) Definitions	(i) resides with a parent or parents who are working or attending a job training or educational program; or ...	98.16(g)(4)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (4) Job training and educational program; ...
3.1.2 a iv	Define what is accepted as “Attending”	658P(4)(C)(i) Definitions	(i) resides with a parent or parents who are working or attending a job training or educational program; or ...	98.16(g)(3)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (3) Attending (a job training or educational program); ...

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3.1.2 b	Does the Lead Agency allow parents to qualify for CCDF assistance on the basis of education and training without additional work requirements?	658P(4)(C)(i) Definitions	(i) resides with a parent or parents who are working or attending a job training or educational program; or ...		
3.1.2 c	Does the Lead Agency provide child care to children who receive, or need to receive protective services?	658P(4)(C)(ii) Definitions	(ii) is receiving, or needs to receive, protective services and resides with a parent or parents not described in clause (i).		
				98.16(g)(7)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (7.) including whether children in foster care are considered in protective services for purposes of child care eligibility; and whether respite care is provided to custodial parents of children in protective services.
3.1.2 c ii	Are children in foster care considered to be in protective services for the purposes of eligibility at determination?			98.16(g)(7)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to 98.20 (a) and 98.46: ... (g) (7.) including whether children in foster care are considered in protective services for purposes of child care eligibility; and whether respite care is provided to custodial parents of children in protective services.
3.1.3	Eligibility criteria: Family Income Limits				
3.1.4	Describe how the family member certifies that family assets do not exceed \$1,000,000. Does the Lead Agency waive the asset limit on a case-by-case basis?	658P(4)(B) Definitions	Whose family income does not exceed 85 percent of the State median income for a family of the same size, and whose family assets do not exceed \$1,000,000 (as certified by a member of such family); ...	98.20(a)(2)(ii)	To be eligible for services under § 98.50, a child shall, at the time of eligibility determination or re-determination ... reside with ... (ii) Whose family assets do not exceed \$1,000,000 (as certified by such family member) ...
3.1.5	Describe additional eligibility conditions or priority rules applied by the Lead Agency during eligibility determination or redetermination.				
3.1.6	Describe the Lead Agency's policies and procedures that take into consideration children's development and learning and that promote continuity of care when authorizing child care services.			98.16(h)(6)	A CCDF Plan shall contain the following: (6) Policies that take into account children's development and learning when authorizing child care services pursuant to § 98.21(f); and ...
				98.21(f)	Lead Agencies must take into consideration children's development and learning and promote continuity of care when authorizing child care services.

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3.1.7	Fluctuation in earnings	658E(c)(2)(N)(i)(II)	Fluctuation in Earnings. ... The plan shall demonstrate how the State's or designated local entity's processes for initial determination and redetermination of such eligibility take into account irregular fluctuations in earnings.	98.16(h)(3)	A CCDF Plan shall contain the following: (3) Processes that take into account irregular fluctuation in earnings, pursuant to § 98.21(c); ...
				98.21(c)	The Lead Agency shall establish processes for initial determination and redetermination of eligibility that take into account irregular fluctuation in earnings, including policies that ensure temporary increases in income, including temporary increases that result in monthly income exceeding 85 percent of SMI (calculated on a monthly basis), do not affect eligibility or family co-payments.
3.1.8	Lead Agencies are required to have procedures for documenting and verifying that children receiving CCDF funds meet eligibility criteria at the time of eligibility determination and redetermination.			98.68(c)	Lead Agencies must describe in their Plan the procedures that are in place for documenting and verifying that children receiving assistance under this part meet eligibility criteria at the time of eligibility determination and re-determination.
3.1.9	Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determination upon receipt of applications?			98.16(h)(7)	A CCDF Plan shall contain the following: (7) Other policies and practices such as timely eligibility determination and processing of applications; ...
3.1.10	Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement ...			98.16(v)	A CCDF Plan shall contain the following: ... pursuant to § 98.33({b}{f}), the definitions or criteria used to implement the exception, provided in section 407(e)(2) of the Social Security Act [(42 U.S.C. 607(e)(2)], to individual penalties in the TANF work requirement applicable to a single custodial parent caring for a child under age six; ...

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				98.33(f)	[f] Inform parents who receive TANF benefits about the requirement at section 407(e)(2) of the Social Security Act [(42 U.S.C. 607(e)(2))] that the TANF agency make an exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under six years of age. The information may be provided directly by the Lead Agency, or, pursuant to Sec. 98.11, other entities, and shall include: (1) The procedures the TANF agency uses to determine if the parent has a demonstrated inability to obtain needed child care; (2) The criteria or definitions applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care, including: (i) "Appropriate child care"; (ii) "Reasonable distance"; (iii) "Unsuitability of informal child care"; (iv) "Affordable child care arrangements"; (3) The clarification that assistance received during the time an eligible parent receives the exception referred to in paragraph (b)[f] of this section will count toward the time limit on Federal benefits required at section 408(a)(7) of the Social Security Act [(42 U.S.C. 608(a)(7)).]
3.1.10 c	How are parents who receive TANF benefits informed about the exception to the individual penalties associated with the TANF work requirements?			98.33(g)	Include in the triennial Plan the definitions or criteria the TANF agency uses in implementing the exception to the work requirement specified in paragraph (f) of this section.
3.2.1	Provide the CCDF co-payments in the chart below according to family size for one child in care.	658E(c)(5)	Sliding fee scale ... The State plan shall provide that the State will establish and periodically revise, by rule, a sliding fee scale that provides for cost sharing (that is not a barrier to families receiving assistance under this subchapter) by the families that receive child care services for which assistance is provided under this subchapter.	98.16(k)	A CCDF Plan shall contain the following: (k) A description of the sliding fee scale(s) (including any factors other than income and family size used in establishing the fee scale(s)) that provide(s) for cost-sharing by the families that receive child care services for which assistance is provided under the CCDF ...
3.2.2	How will the family's contribution be calculated, and to whom will it be applied?			98.16(k)	A CCDF Plan shall contain the following: (k) A description of the sliding fee scale(s) (including any factors other than income and family size used in establishing the fee scale(s)) that provide(s) for cost-sharing by the families that receive child care services for which assistance is provided under the CCDF ...

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3.2.3	Does the Lead Agency use other factors in addition to income and family size to determine each family's co-payment?			98.16(k)	A CCDF Plan shall contain the following: (k) A description of the sliding fee scale(s) (including any factors other than income and family size used in establishing the fee scale(s)) that provide(s) for cost-sharing by the families that receive child care services for which assistance is provided under the CCDF ...
3.2.4	Does the Lead Agency waive family contributions/co-payments for any of the following?			98.16(k)	A CCDF Plan shall contain the following: A description of the sliding fee scale(s) including any factors other than income and family size used in establishing the fee scale (s) that provide(s) for cost-sharing by the families that receive child care services for which assistance is provided under the CCDF, and how co-payment are affordable for families, pursuant to 98.45 (k). This shall include a description of the criteria established by the Lead Agency, if any, for waiving contributions for families.
3.2.5	Policies and processes for graduated phase-out of assistance at redetermination ...	658E(c)(2)(N)(iv)	Graduated Phaseout of Care. ... The plan shall describe the policies and procedures that are in place to allow for provision of continued assistance to carry out this subchapter, at the beginning of a new eligibility period under clause (i)(I), for children of parents who are working or attending a job training or educational program and whose family income exceeds the State's income limit to initially qualify for such assistance, if the family income for the family involved does not exceed 85 percent of the State median income for a family of the same size.	98.16(h)(2)	A CCDF Plan shall contain the following: (2) A graduated phase-out for families whose income exceeds the Lead Agency's threshold to initially qualify for CCDF assistance, but does not exceed 85 percent of State median income, pursuant to § 98.21(b); ...
3.3.1	Describe how the Lead Agencies define "children with special needs" and "families with very low income."	658E(c)(3)(B)(ii)	In General. ... The State shall use amounts provided to the State for each fiscal year under this subchapter for child care services ... (ii) with priority being given for services provided to children of families with very low family incomes (taking into consideration family size) and to children with special needs.	98.16(g)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to §§ 98.20(a) and 98.4[6]:(g) (8) Very low income; and ...
		658P(3)	(3) Child with a Disability. ... The term 'child with a disability' means ... (A) a child with a disability, as defined in section 602 of the Individuals with Disabilities Education Act (20 U.S.C. 1401); (B) a child who is eligible for early intervention services under part C of the Individuals with Disabilities Education Act (20 U.S.C. 1431 et seq.); (C) a child who is less than 13 years of age and who is eligible for services under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794); and (D) a child with a disability, as defined by the State involved.	98.16(g)(1)	A CCDF Plan shall contain the following: Definitions of the following terms for purposes of determining eligibility, pursuant to §§ 98.20(a) and 98.4[6]:(g) (1) Special needs child; ...

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3.3.2	Identify how the Lead Agencies will prioritize or target child care services for the following children and families ...	658E(c)(3)(B)(ii)	In General. ... The State shall use amounts provided to the State for each fiscal year under this subchapter for child care services ... (ii)) with priority being given for services provided to children of families with very low family incomes (taking into consideration family size) and to children with special needs.	98.16(i)(4)	A CCDF Plan shall contain the following: (4) A description of how the Lead Agency will meet the needs of certain families specified at §98.50(e); ...
				98.50(e)	(e) Not less than 70 percent of the Mandatory and [Federal and State share of] Matching Funds shall be used to meet the child care needs of families who: (1) Are receiving assistance under a State program under Part A of title IV of the Social Security Act (2) Are attempting through work activities to transition off such assistance program; and (3) Are at risk of becoming dependent on such assistance program.
				98.50 (h)	Pursuant to § 98.16(i)(4), the Plan shall specify how the State will meet the child care needs of families described in paragraph (e) of this section.
3.3.3	List and define any other priority groups established by the Lead Agency.			98.16(i)(5)	A CCDF Plan shall contain the following: (5) Any {additional} eligibility criteria, priority rules, and definitions established pursuant to §98.20 and 98.46; ...
3.3.4	Describe how the Lead Agency prioritizes services for the additional priority groups.			98.16(i)(5)	A CCDF Plan shall contain the following: (5) Any {additional} eligibility criteria, priority rules, and definitions established pursuant to §98.20 and 98.46; ...
3.3.5	Describe the procedures to permit the enrollment of children experiencing homelessness and how outreach for these children is conducted.	658E(c)(3)(B)(i)	In General.—The State shall use amounts provided to the State for each fiscal year under this subchapter for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, activities that improve access to child care services, including the use of procedures to permit enrollment (after an initial eligibility determination) of homeless children while required documentation is obtained, training and technical assistance on identifying and serving homeless children and their families, and specific outreach to homeless families, and any other activity that the State determines to be appropriate to meet the purposes of this subchapter (which may include an activity described in clause (ii)) with priority being given for services provided to children of families with very low family incomes (taking into consideration family size) and to children with special needs.	98.51(a)	Lead Agencies shall expend funds on activities that improve access to quality child care services for children experiencing homelessness, including: (a) The use of procedures to permit enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained; ...

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3.3.6	Describe procedures to provide a grace period, how the length of the grace period was established, how referrals and support are coordinated with licensing and other relevant agencies.	658E(c)(2)(i)(I)	The plan shall include a certification that there are in effect within the State, under State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers that provide services for which assistance is made available under this subchapter. Such requirements- (i) shall relate to matters including health and safety topics consisting of—the prevention and control of infectious diseases (including immunization) and the establishment of a grace period that allows homeless children and children in foster care to receive services under this subchapter while their families (including foster families) are taking any necessary action to comply with immunization and other health and safety requirement; ...	98.51(a)	Lead Agencies shall expend funds on activities that improve access to quality child care services for children experiencing homelessness, including: (a) The use of procedures to permit enrollment (after an initial eligibility determination) of children experiencing homelessness while required documentation is obtained; ...
3.4.1	Minimum 12-Month eligibility	658E(c)(2)(N)(i)(I)	12-Month Period.—The plan shall demonstrate that each child who receives assistance under this subchapter in the State will be considered to meet all eligibility requirements for such assistance and will receive such assistance, for not less than 12 months before the State or designated local entity redetermines the eligibility of the child under this subchapter, regardless of a temporary change in the ongoing status of the child's parent as working or attending a job training or educational program or a change in family income for the child's family, if that family income does not exceed 85 percent of the State median income for a family of the same size.	98.16(h)(1)	A CCDF Plan shall contain the following: (1) An eligibility re-determination period of no less than 12 months in accordance with § 98.21(a); ...
3.4.2	Continuing assistance for "job search". Option to discontinue assistance during the 12-month eligibility period ...				
3.4.3	Change reporting during the 12-month eligibility period ...			98.16(h)(5)	A CCDF Plan shall contain the following: (5) Limiting any requirements to report changes in circumstances in accordance with § 98.21(e); ...

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3.4.4	Prevent the disruption of employment, education, or job training activities.	658E(c)(2)(N)(ii)	Redetermination Process.—The plan shall describe the procedures and policies that are in place to ensure that working parents (especially parents in families receiving assistance under the program of block grants to States for temporary assistance for needy families under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.)) are not required to unduly disrupt their employment in order to comply with the State's or designated local entity's requirements for redetermination of eligibility for assistance provided in accordance with this subchapter.	98.16(h)(4)	A CCDF Plan shall contain the following: (4) Procedures and policies to ensure that parents are not required to unduly disrupt their education, training, or employment to complete eligibility re-determination, pursuant to § 98.21(d); ...
4.1.1	Describe the child care certificate, including when it is issued to parents (before or after the parent has selected a provider) and what information is included on the certificate.			98.16(q)	A CCDF Plan shall contain the following: A description of the child care certificate payment system(s), including the form or forms of the child care certificate, pursuant to § 98.30(c); ...
4.1.2	Identify how the parent is informed that the child certificate allows the option to choose from a variety of child care categories, such as private, not-for-profit, faith-based providers; centers; FCC homes; or in-home providers.	658P Definitions	(2) Child care certificate—The term "child care certificate" means a certificate (that may be a check or other disbursement) that is issued by a State or local government under this subchapter directly to a parent who may use such certificate only as payment for child care services or as a deposit for child care services if such a deposit is required of other children being cared for by the provider. Nothing in this subchapter shall preclude the use of such certificates for sectarian child care services if freely chosen by the parent.	98.15(a)(2)	The Lead Agency shall include the following assurances in its CCDF Plan: (2) The parent(s) of each eligible child within the area served by the Lead Agency who receives or is offered child care services for which financial assistance is provided is given the option either: (i) To enroll such child with a child care provider that has a grant or contract for the provision of the service; or (ii) To receive a child care certificate as defined in § 98.2; ...
4.1.3	A core principle of CCDF is that families receiving CCDF-funded child care should have equal access to child care that is comparable to that of non-CCDF families. Describe how parents have access to the full choice of providers.	658E(c)(4)(A)	(A) In General.—The State plan shall certify that payment rates for the provision of child care services for which assistance is provided in accordance with this subchapter are sufficient to ensure equal access for eligible children to child care services that are comparable to child care services in the State or substate area involved that are provided to children whose parents are not eligible to receive assistance under this subchapter or for child care assistance under any other Federal or State programs, and shall provide a summary of the facts relied on by the State to determine that such rates are sufficient to ensure such access.	98.45 (a)	The Lead Agency shall certify that the payment rates for the provision of child care services under this part are sufficient to ensure equal access, for eligible families in the area served by the Lead Agency, to child care services comparable to those provided to families not eligible to receive CCDF assistance or child care assistance under any other Federal, State, or tribal programs.

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4.1.4	Certify by describing the Lead Agency's procedures for ensuring that parents have unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds.	658 E(c)(2)(B)	The state plan shall—Unlimited parental access—Certify that procedures are in effect within the State to ensure that child care providers who provide services for which assistance is made available under this subchapter afford parents unlimited access to their children and to the providers caring for their children, during the normal hours of operation of such providers and whenever such children are in the care of such providers, and provide a detailed description of such procedures.	98.15(b)(2)	The Lead Agency shall include the following certifications in its CCDF Plan: In accordance with § 98.31, [the Lead Agency] has procedures in place to ensure that providers of child care services for which assistance is provided under the CCDF, afford parents unlimited access to their children and to the providers caring for their children, during the normal hours of operations and whenever such children are in the care of such providers; ...
				98.16(t)	A CCDF Plan shall contain the following: A detailed description of the procedures in effect for affording parents unlimited access to their children whenever their children are in the care of the provider, pursuant to § 98.31; ...
				98.31	The Lead Agency shall have in effect procedures to ensure that providers of child care services for which assistance is provided afford parents unlimited access to their children, and to the providers caring for their children, during normal hours of provider operation and whenever the children are in the care of the provider. The Lead Agency shall provide a detailed description in the Plan of such procedures.
4.1.5	Will the Lead Agency limit the use of in-home care in any way?			98.16(i)(2)	A CCDF Plan shall contain the following: (2) Any limits established for the provision of in-home care and the reasons for such limits pursuant to §98.30(e)(1)(iii); ...
4.1.6	Child care services available through grants or contracts.	658 E(c)(2)(A)(ii)	... in cases in which the parent selects the option described in clause (i)(I), the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable; and ...	98.15(a)(3)	The Lead Agency shall include the following assurances in its CCDF Plan: (3) In cases in which the parent(s), pursuant to § 98.30, elects to enroll their child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable; ...

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4.1.7	Lead Agencies must identify shortages in the supply of high-quality child care providers. List the data sources used to identify shortages, and describe the method of tracking progress to support equal access.			98.16(x)	A CCDF Plan shall contain the following: A description of the Lead Agency's strategies (which may include alternative payment rates to child care providers, the provision of direct grants or contracts, offering child care certificates, or other means) to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities as defined by the Lead Agency, and children who receive care during nontraditional hours, including whether the Lead Agency plans to use grants and contracts in building supply and how supply-building mechanisms will address the needs identified. The description must identify shortages in the supply of high-quality child care providers, list the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice. If the Lead Agency chooses to employ grants and contracts to meet the purposes of this section, the Lead Agency must provide CCDF families the option to choose a certificate for the purposes of acquiring care;
4.1.8	Describe what method is used to increase supply and to improve quality for the following.			98.16(x)	A CCDF Plan shall contain the following: A description of the Lead Agency's strategies (which may include alternative payment rates to child care providers, the provision of direct grants or contracts, offering child care certificates, or other means) to increase the supply and improve the quality of child care services for children in underserved areas, infants and toddlers, children with disabilities as defined by the Lead Agency, and children who receive care during nontraditional hours, including whether the Lead Agency plans to use grants and contracts in building supply and how supply-building mechanisms will address the needs identified. The description must identify shortages in the supply of high-quality child care providers, list the data sources used to identify shortages, and describe the method of tracking progress to support equal access and parental choice. If the Lead Agency chooses to employ grants and contracts to meet the purposes of this section, the Lead Agency must provide CCDF families the option to choose a certificate for the purposes of acquiring care; ...

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4.1.9	Lead Agencies must prioritize investments for increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and do not currently have sufficient numbers of such programs.	658E(c)(2)(Q)	Priority for Low-Income Populations.—The plan shall describe the process the State proposes to use, with respect to investments made to increase access to programs providing high-quality child care and development services, to give priority for those investments to children of families in areas that have significant concentrations of poverty and unemployment and that do not have such programs.	98.16(y)	A CCDF Plan shall contain the following: A description of how the Lead Agency prioritizes increasing access to high-quality child care and development services for children of families in areas that have significant concentrations of poverty and unemployment and that do not have sufficient numbers of such programs, pursuant to § 98.46; ...
4.2.1	Completion of the MRS, ACF pre-approved alternative methodology ...	658E(c)(4)(B)(i)	The state plan shall ... demonstrate that the State has, after consulting with the State Advisory Council on Early Childhood Education and Care designated or established in section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)), local child care program administrators, local child care resource and referral agencies, and other appropriate entities, developed and conducted (not earlier than 2 years before the date of the submission of the application containing the State plan) a statistically valid and reliable survey of the market rates for child care services in the State (that reflects variations in the cost of child care services by geographic area, type of provider, and age of child) or an alternative methodology, such as a cost estimation model, that has been developed by the State lead agency ...	98.45(c)	The Lead Agency shall demonstrate in the Plan that it has developed and conducted, not earlier than two years before the date of the submission of the Plan, either: (1) A statistically valid and reliable survey of the market rates for child care services; or (2) An alternative methodology, such as a cost estimation model, that has been: (i) Proposed by the Lead Agency; and (ii) Approved in advance by ACF.
4.2.2	Describe how the Lead Agency consulted with State Advisory Council or other state- or state-designated cross-agency body if there is no SAC, local child care program administrators, local child care resource and referral agencies, and other appropriate entities and organizations representing caregivers, teachers, and directors prior to developing and conducting the MRS or alternative methodology.	658E(c)(4)(B)(i)	The state plan shall ... demonstrate that the State has, after consulting with the State Advisory Council on Early Childhood Education and Care designated or established in section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)), local child care program administrators, local child care resource and referral agencies, and other appropriate entities, developed and conducted (not earlier than 2 years before the date of the submission of the application containing the State plan) a statistically valid and reliable survey of the market rates for child care services in the State (that reflects variations in the cost of child care services by geographic area, type of provider, and age of child) or an alternative methodology, such as a cost estimation model, that has been developed by the State lead agency ...		

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4.2.3	Completion of the market rate survey or the ACF pre-approved alternative methodology – statistically valid and reliable ...	658E(c)(4)(B)(i)	The state plan shall ... demonstrate that the State has, after consulting with the State Advisory Council on Early Childhood Education and Care designated or established in section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)), local child care program administrators, local child care resource and referral agencies, and other appropriate entities, developed and conducted (not earlier than 2 years before the date of the submission of the application containing the State plan) a statistically valid and reliable survey of the market rates for child care services in the State (that reflects variations in the cost of child care services by geographic area, type of provider, and age of child) or an alternative methodology, such as a cost estimation model, that has been developed by the State lead agency ...	98.45 (c)	The Lead Agency shall demonstrate in the Plan that it has developed and conducted, not earlier than two years before the date of the submission of the Plan, either: (1) A statistically valid and reliable survey of the market rates for child care services; or (2) An alternative methodology, such as a cost estimation model, that has been: (i) Proposed by the Lead Agency; and (ii) Approved in advance by ACF.
4.2.4	Describe how the market rate survey or alternative methodology reflects variations in the price or cost of child care services.	658E(c)(4)(B)(i)	The state plan shall—demonstrate that the State has, after consulting with the State Advisory Council on Early Childhood Education and Care designated or established in section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)), local child care program administrators, local child care resource and referral agencies, and other appropriate entities, developed and conducted (not earlier than 2 years before the date of the submission of the application containing the State plan) a statistically valid and reliable survey of the market rates for child care services in the State (that reflects variations in the cost of child care services by geographic area, type of provider, and age of child) or an alternative methodology, such as a cost estimation model, that has been developed by the State lead agency ...	98.45(c)	The Lead Agency shall demonstrate in the Plan that it has developed and conducted, not earlier than two years before the date of the submission of the Plan, either: (1) A statistically valid and reliable survey of the market rates for child care services; or (2) An alternative methodology, such as a cost estimation model, that has been: (i) Proposed by the Lead Agency; and (ii) Approved in advance by ACF.

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4.2.5	Has the Narrow Cost Analysis or Estimated Cost of Care been completed for the FY 2022-2024 CCDF Plan?			Preamble- 81 FR 67513 Note this citation is not from the CCDF Rule but instead the Preamble.	Lead Agencies should ensure that base payment rates are sufficient to support the cost to the provider (rather than price) of health, safety, quality and, staffing requirements. Base rates are the lowest, foundational rates before any differentials are added (e.g., for higher quality or other purposes). Lead Agencies that choose to conduct a market rate survey (rather than an alternative methodology) are still required to comply with this provision, but may conduct an analysis that is more narrowly focused on ensuring that base payment rates are adequate to cover the cost of health, safety, quality, and staffing rather than a full alternative methodology (e.g., cost estimation model) that would need to look more broadly at costs. We also agree with commenters that, beyond base rates, it is important to raise rates for higher-quality ...
4.2.6	Describe how the Lead Agency made the results of the market rate survey or ACF pre-approved alternative methodology report widely available to the public.	658E(c)(4)(B)(ii)	The state plan shall—demonstrate that the State prepared a detailed report containing the results of the State market rates survey or alternative methodology conducted pursuant to clause (i), and made the results of the survey or alternative methodology widely available (not later than 30 days after the completion of such survey or alternative methodology) through periodic means, including posting the results on the Internet ...		
4.3.1	Provide the base payment rates and percentiles (based on the most recent MRS) For states that conduct an ACF pre-approved alternative methodology, report the base payment rates based on a full-time weekly rate..			98.16(r)	A CCDF Plan shall contain the following: Payment rates and a summary of the facts, including a local market rate survey or alternative methodology relied upon to determine that the rates provided are sufficient to ensure equal access pursuant to § 98.45; ...
4.3.2	Describe how and on what factors the Lead Agency differentiates payment rates.				

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4.3.3	Check and describe the types of tiered reimbursement or differential rates, if any, the Lead Agency has chosen to implement. In the description of any tiered rates or add-ons, at a minimum, indicate the process and basis used for determining the tiered rates, including if the rates were based on the MRS and/or an alternative methodology, and the amount of the rate.	658E(c)(4)(B)(iii)(II)	The state plan shall—describe how the State will set payment rates for child care services, for which assistance is provided in accordance with this subchapter—taking into consideration the cost of providing higher quality child care services than were provided under this subchapter before the date of enactment of the Child Care and Development Block Grant Act of 2014 ...		
4.3.4	Describe how payment rates are adequate and have been established based on the most recent MRS or ACF pre-approved alternative methodology and the Narrow Cost Analysis.	658E(c)(4)(A)	In General.—The State plan shall certify that payment rates for the provision of child care services for which assistance is provided in accordance with this subchapter are sufficient to ensure equal access for eligible children to child care services that are comparable to child care services in the State or substate area involved that are provided to children whose parents are not eligible to receive assistance under this subchapter or for child care assistance under any other Federal or State programs, and shall provide a summary of the facts relied on by the State to determine that such rates are sufficient to ensure such access.	98.45(b)(2)	The Lead Agency shall provide in the Plan a summary of the data and facts relied on to determine that its payment rates ensure equal access. At a minimum, the summary shall include facts showing: 2) How payment rates are adequate [and have been established] based on [the most recent market rate survey or alternative methodology conducted in accordance with paragraph (c) of this section:] ...
		658E(c)(4)(B)(iii)	The state plan shall—describe how the State will set payment rates for child care services, for which assistance is provided in accordance with this subchapter ...	98.15(b)(11)	The Lead Agency shall include the following certifications in its CCDF Plan: Payment rates for the provision of child care services, in accordance with § 98.45, are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs.
				98.15(a)(5)	The Lead Agency shall include the following assurances in its CCDF Plan: With respect to State and local regulatory requirements (or tribal regulatory requirements), health and safety requirements, payment rates, and registration requirements, State or local (or tribal) rules, procedures or other requirements promulgated for the purpose of the CCDF will not significantly restrict parental choice from among categories of care or types of providers, pursuant to § 98.30(f).

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4.3.4 a	Describe how base payment rates enable providers to meet health, safety, quality, and staffing requirements under CCDF (formerly question 4.4.1 c).			98.45(b)(3)	The Lead Agency shall provide in the Plan a summary of the data and facts relied on to determine that its payment rates ensure equal access. At a minimum, the summary shall include facts showing: (3) How base payment rates enable providers to meet health, safety, quality, and staffing requirements in accordance with paragraphs (f)(1)(ii)(A) and (f)(2)(ii) of this section.
4.3.5	Describe how the Lead Agency took the cost of higher quality, as determined in 4.2.7, into account, including how payment rates for higher-quality care, as defined by the Lead Agency using a QRIS or other system of quality indicators, relate to the estimated cost of care at each level of quality.	658E(c)(4)(B)(iii)(II)	The state plan shall—describe how the State will set payment rates for child care services, for which assistance is provided in accordance with this subchapter—taking into consideration the cost of providing higher quality child care services than were provided under this subchapter before the date of enactment of the Child Care and Development Block Grant Act of 2014 ...	98.45(b)(4)	The Lead Agency shall provide in the Plan a summary of the data and facts relied on to determine that its payment rates ensure equal access. At a minimum, the summary shall include facts showing (4) How the Lead Agency took the cost of higher quality into account in accordance with paragraph (f)(2)(iii) of this section, including how payment rates for higher- quality care, as defined by the Lead Agency using a quality rating and improvement system or other system of quality indicators, relate to the estimated cost of care at each level of quality; ...
4.3.6	Identify and describe any additional facts that the Lead Agency considered in determining its payment rates to ensure equal access. (formerly question 4.4.1 i)				
4.4.1	Certify by describing the payment practices that the Lead Agency has implemented for all CCDF child care providers ...	658E(c)(4)(B)(iv)	The State plan shall—(iv) describe how the State will provide for timely payment for child care services provided under this subchapter.	98.15(b)(12)	The Lead Agency shall include the following certifications in its CCDF Plan: Payment practices of child care providers of services for which assistance is provided under the CCDF reflect generally-accepted payment practices of child care providers that serve children who do not receive CCDF assistance, pursuant to § 98.45(l); and ...
		658E(c)(2)(S)(i)	The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.16(bb)	A CCDF Plan shall contain the following: A description of payment practices applicable to providers of child care services for which assistance is provided under this part, pursuant to § 98.45(l), including practices to ensure timely payment for services, to delink provider payments from children's occasional absences to the extent practicable, and to reflect generally-accepted payment practices; ...

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4.4.1a	Timeliness of Payments	658E(c)(2)(S)(i)	The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.15(a)(8)	The Lead Agency shall include the following assurances in its CCDF Plan: (8) To the extent practicable, enrollment and eligibility policies support the fixed costs of providing child care services by delinking provider payment rates from an eligible child's occasional absences in accordance with § 98.45(l); ...
		658E(c)(4)(B)(iv)	The state plan shall—describe how the State will provide for timely payment for child care services provided under this subchapter ...	98.45(l)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (1) Ensure timeliness of payment by either: (i) Paying prospectively prior to the delivery of services; or (ii) Paying within no more than 21 calendar days of the receipt of a complete invoice for services.
4.4.1 b	Support fixed costs-enrollment/attendance policies ...	658E(c)(2)(S)(ii)	The plan shall include an assurance that the State will, to the extent practicable, implement enrollment and eligibility policies that support the fixed costs of providing child care services by delinking provider reimbursement rates from an eligible child's occasional absences due to holidays or unforeseen circumstances such as illness.	98.45(l)(3)(i)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (3) Reflect generally-accepted payment practices of child care providers that serve children who do not receive CCDF subsidies, which must include (unless the Lead Agency provides evidence that such practices are not generally-accepted in the State or service area): (i) Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time) and (ii) Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.
4.4.1 c	Paying on a part-time or full-time basis, paying for reasonable mandatory registration fees.		The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.45 (l)(3)(i)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (3) Reflect generally-accepted payment practices of child care providers that serve children who do not receive CCDF subsidies, which must include (unless the Lead Agency provides evidence that such practices are not generally-accepted in the State or service area): (i) Paying on a part-time or full-time basis (rather than paying for hours of service or smaller increments of time) and (ii) Paying for reasonable mandatory registration fees that the provider charges to private-paying parents.

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4.4.1d	Written Payment Agreement ...		The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.45(l)(4)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (4) Ensure child care providers receive payment for any services in accordance with a written payment agreement or authorization for services that includes, at a minimum, information regarding provider payment policies, including rates, schedules, any fees charged to providers, and the dispute resolution process required by paragraph (l)(6); ...
4.4.1 e	Prompt notice of changes ...		The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.45(l)(5)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (5) Ensure child care providers receive prompt notice of changes to a family's eligibility status that may impact payment, and that such notice is sent to providers no later than the day the Lead Agency becomes aware that such a change will occur; ...
4.4.1 f	Resolution/Appeals ...		The plan shall include a certification that the payment practices of child care providers in the State that serve children who receive assistance under this subchapter reflect generally accepted payment practices of child care providers in the State that serve children who do not receive assistance under this subchapter, so as to provide stability of funding and encourage more child care providers to serve children who receive assistance under this subchapter; ...	98.45(l)(6)	(l) The Lead Agency shall demonstrate in the Plan that it has established payment practices applicable to all CCDF child care providers that: (6) Include timely appeal and resolution processes for any payment inaccuracies and disputes ...
4.4.2	Do payment practices vary across regions, counties, and/or geographic areas?	98.43(j)(1)	Nothing in this part shall be construed to prevent a Lead Agency from differentiating payment rates on the basis of such factors as: (1) Geographic location of child care providers (such as location in an urban or rural area);		
4.4.3	Describe how Lead Agencies' payment practices described in 4.4 support equal access to a range of providers.	658E(c)(4)(A)	In General.—The State plan shall certify that payment rates for the provision of child care services for which assistance is provided in accordance with this subchapter are sufficient to ensure equal access for eligible children to child care services that are comparable to child care services in the State or substate area involved that are provided to children whose parents are not eligible to receive assistance under this subchapter or for child care assistance under any other Federal or State programs, and shall provide a summary of the facts relied on by the State to determine that such rates are sufficient to ensure such access.		

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4.5.1	How will the Lead Agency ensure that the family contribution/co-payment, based on a sliding-fee scale, is affordable and is not a barrier to families receiving CCDF funds? (formerly question 4.4.1 e)	658E(c)(5)	Sliding fee scale—The State plan shall provide that the State will establish and periodically revise, by rule, a sliding fee scale that provides for cost sharing (that is not a barrier to families receiving assistance under this subchapter) by the families that receive child care services for which assistance is provided under this subchapter.		
4.5.2	Does the Lead Agency choose the option to allow providers to charge families additional amounts above the required co-payment in instances where the provider's price exceeds the subsidy payment (98.45(b)(5))?			98.45(d)	(d) The Lead Agency must: ... (2) Track through the market rate survey or alternative methodology, or through a separate source, information on the extent to which ... (ii) CCDF child care providers charge amounts to families more than the required family co-payment (under paragraph (k) of this section) in instances where the provider's price exceeds the subsidy payment, including data on the size and frequency of any such amounts.
5.1.1	To certify, describe the licensing requirements applicable to child care services provided within the state/territory by identifying the providers in your state/territory that are subject to licensing using the CCDF categories listed below. Check all that apply and provide a citation to the licensing rule.	658E(c)(2)(F)(i)	The state plan shall: ... Compliance with State Licensing Requirements ... (i) In General.—The plan shall include a certification that the State involved has in effect licensing requirements applicable to child care services provided within the State, and provide a detailed description of such requirements and of how such requirements are effectively enforced.	98.15(b)(6)	The Lead Agency shall include the following certifications in its CCDF Plan ... (6) There are in effect licensing requirements applicable to child care services provided within the State, pursuant to § 98.40; ...
				98.40 (a)(1)	Lead Agencies shall: ... Certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency; ...

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5.1.2	Identify the providers who are exempt from licensing requirements. Describe exemptions based on length of day, threshold on the number of children in care, ages of children in care or any other factors applicable to the exemption. Describe how such exemptions do not endanger the health, safety, and development of children (658E (c)(2)(F); 98.40(a)(2)). Do not include exempt relative care providers, this information will be collected in Section 5.6.	658E(c)(2)(F)(ii)	License Exemption.—If the State uses funds received under this subchapter to support a child care provider that is exempt from the corresponding licensing requirements described in clause (i), the plan shall include a description stating why such licensing exemption does not endanger the health, safety, or development of children who receive services from child care providers who are exempt from such requirements.	98.40 (a)(2)	Lead Agencies shall: ... Describe in the Plan exemption(s) to licensing requirements, if any, for child care services for which assistance is provided, and a demonstration for how such exemption(s) do not endanger the health, safety, or development of children who receive services from such providers. Lead Agencies must provide the required description and demonstration for any exemptions based on: (i) Provider category, type, or setting; (ii) Length of day; (iii) Providers not subject to licensing because the number of children served falls below a State-defined threshold; and (iv) Any other exemption to licensing requirements; and (3) Provide a detailed description [in the Plan] of the requirements under paragraph (a)(1) of this section and of how they are effectively enforced.
5.2.1	Describe how the state/territory defines the following age classifications.				
5.2.2	To demonstrate continued compliance, provide the ratio and group size for settings and age groups below.	658E(c)(2)(H)(i)(I)	The plan shall describe: ... the appropriate ratio between the number of children and the number of providers, in terms of the age of the children in child care, as determined by the State; ...	98.16(m)	... (m) A description of child care standards for child care providers of services for which assistance is provided under the CCDF, in accordance with § 98.41(d), that includes group size limits, child-staff ratios, and required qualifications for caregivers, teachers and directors; ...
		658E(c)(2)(H)(i)(II)	The plan shall describe: ... group size limits for specific age populations, as determined by the State; ...	98.16(m)	... (m) A description of child care standards for child care providers of services for which assistance is provided under the CCDF, in accordance with § 98.41(d), that includes group size limits, child-staff ratios, and required qualifications for caregivers, teachers and directors; ...
5.2.3	Qualifications for child care providers ...	658E(c)(2)(H)(i)(III)	The plan shall describe: ... required qualifications for such providers, as determined by the State ...	98.16(m)	... (m) A description of child care standards for child care providers of services for which assistance is provided under the CCDF, in accordance with § 98.41(d), that includes group size limits, child-staff ratios, and required qualifications for caregivers, teachers and directors; ...

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5.2.2 & 5.2.3				98.41(d)	Lead Agencies shall describe in the Plan standards for child care services for which assistance is provided under this part, appropriate to strengthening the adult and child relationship in the type of child care setting involved, to provide for the safety and developmental needs of the children served, that address: (1) Group size limits for specific age populations; (2) The appropriate ratio between the number of children and the number of caregivers, in terms of age of children in child care; and (3) Required qualifications for [caregivers in child care settings as described at § 98.44(a)(4).
5.3.1-5.3.12	Health and Safety Standards and Training ...	658E(c)(2)(l)	Health and Safety Requirements.—The plan shall include a certification that there are in effect within the State, under State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers that provide services for which assistance is made available under this subchapter.	98.15(b)(7)	The Lead Agency shall include the following certifications in its CCDF Plan ... There are in effect within the State (or other area served by the Lead Agency), under State or local (or tribal) law, requirements designed to protect the health and safety of children that are applicable to child care providers that provide services for which assistance is made available under the CCDF, pursuant to § 98.41; ...
5.3.1-5.3.12				98.16(l)	A CCDF plan shall contain the following: ... (l) A description of the health and safety requirements, applicable to all providers of child care services for which assistance is provided under the CCDF, in effect pursuant to § 98.41 ...
5.3.1-5.3.12				98.41	Each Lead Agency shall certify that there are in effect, within the State (or other area served by the Lead Agency), under State, local or tribal law, requirements [(appropriate to provider setting and age of children served) that are] designed[, implemented, and enforced] to protect the health and safety of children ... [Such requirements must be] applicable to child care providers of services for which assistance is provided under this part. Such requirements[, which are subject to monitoring pursuant to § 98.42

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5.3.1	Prevention and control of infectious diseases.	658E(c)(2)(I)(i)(I)	Such requirements shall relate to matters including health and safety topics consisting of: ... the prevention and control of infectious diseases (including immunization) and the establishment of a grace period that allows homeless children and children in foster care to receive services under this subchapter while their families (including foster families) are taking any necessary action to comply with immunization and other health and safety requirements; ...	98.41(a)(1)(i)	Include health and safety topics consisting of, at a minimum: ... (i)] The prevention and control of infectious diseases (including immunizations); ...
5.3.2	Prevention of sudden infant death syndrome and the use of safe-sleep practices.	658E(c)(2)(I)(i)(II)	Such requirements shall relate to matters including health and safety topics consisting of: ... prevention of sudden infant death syndrome and use of safe sleeping practices ...	98.41(a)(1)(ii)	Prevention of sudden infant death syndrome and the use of safe-sleep practices ...
5.3.3	Administration of medication.	658E(c)(2)(I)(i)(III)	Such requirements shall relate to matters including health and safety topics consisting of: ... the administration of medication, consistent with standards for parental consent ...	98.41(a)(1)(iii)	Administration of medication, consistent with standards for parental consent ...
5.3.4	Prevention and response to emergencies due to food and allergic reactions.	658E(c)(2)(I)(i)(IV)	Such requirements shall relate to matters including health and safety topics consisting of: ... the prevention of and response to emergencies due to food and allergic reactions ...	98.41(a)(1)(iv)	Prevention of and response to emergencies due to food and allergic reactions ...
5.3.5	Building and physical premises safety.	658E(c)(2)(I)(i)(V)	Such requirements shall relate to matters including health and safety topics consisting of: ... building and physical premises safety, including identification of and protection from hazards that can cause bodily injury such as electrical hazards, bodies of water, and vehicular traffic ...	98.41(a)(1)(v)	Building and physical premises safety, including the identification of and protection from hazards that can cause bodily injury, such as electrical hazards, bodies of water, and vehicular traffic ...
5.3.6	Prevention of shaken baby syndrome.	658E(c)(2)(I)(i)(VI)	Such requirements shall relate to matters including health and safety topics consisting of: ... prevention of shaken baby syndrome and abusive head trauma ...	98.41(a)(1)(vi)	Prevention of shaken baby syndrome, abusive head trauma, and child maltreatment ...
5.3.7	Emergency preparedness and response planning.	658E(c)(2)(I)(i)(VII)	Such requirements shall relate to matters including health and safety topics consisting of: ... emergency preparedness and response planning for emergencies resulting from a natural disaster, or a man-caused event (such as violence at a child care facility), within the meaning of those terms under section 602(a)(1) of the Robert T. Stafford Disaster Relief and Emergency Assistance Act (42 U.S.C. 5195a(a)(1)) ...	98.41(a)(1)(vii)	Emergency preparedness and response planning for emergencies resulting from a natural disaster or a human-caused event ...
5.3.8	Handling and storage of hazardous materials.	658E(c)(2)(I)(i)(VIII)	Such requirements shall relate to matters including health and safety topics consisting of: ... the handling and storage of hazardous materials and the appropriate disposal of biocontaminants ...	98.41(a)(1)(viii)	Handling and storage of hazardous materials and the appropriate disposal of bio-contaminants ...
5.3.9	Precautions in transporting children.	658E(c)(2)(I)(i)(IX)	Such requirements shall relate to matters including health and safety topics consisting of: ... for providers that offer transportation, if applicable, appropriate precautions in transporting children; ...	98.41(a)(1)(ix)	Precautions in transporting children (if applicable) ...

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5.3.10	Pediatric first aid and cardiopulmonary resuscitation (CPR).	658E(c)(2)(I)(i)(X)	Such requirements shall relate to matters including health and safety topics consisting of: ... first aid and cardiopulmonary resuscitation ...	98.41(a)(1)(x)	Pediatric first aid and cardiopulmonary resuscitation (CPR) certification ...
5.3.11	Recognition and reporting of child abuse and neglect.			98.41(a)(1)(xi)	Recognition and reporting of child abuse and neglect ...
		658E(c)(2)(L)	Compliance with Child Abuse Reporting Requirements.—The plan shall include a certification that child care providers within the State will comply with the child abuse reporting requirements of section 106(b)(2)(B)(i) of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)).	98.15(b)(9)	The Lead Agency shall include the following certifications in its CCDF Plan ... Caregivers, teachers, and directors of child care providers comply with the State's, Territory's or Tribe's procedures for reporting child abuse and neglect as required by section 106(b)(2)(B)(i) of the Child Abuse Prevention and Treatment Act (42 U.S.C. 5106a(b)(2)(B)(i)), if applicable, or other child abuse reporting procedures and laws in the service area, as required by § 98.41(e); ...
5.3.12	Child development.			98.44(b)(1)(iii)	The Lead Agency must describe in the Plan its established requirements for pre-service or orientation (to be completed within three months) and ongoing professional development for caregivers, teachers, and directors of child care providers of services for which assistance is provided under the CCDF that, to the extent practicable, align with the State framework: ... (iii) Child development, including the major domains (cognitive, social, emotional, physical development and approaches to learning); ...
5.3.13	Provide the number of hours of ongoing training required annually, for eligible CCDF providers in the following settings ...	658E(c)(2)(G)(iii)	Information.—The plan shall include the number of hours of training required for eligible providers and caregivers to engage in annually, as determined by the State.		
5.3.14	In addition to the required standards, does the Lead Agency include any of the following optional standards? (Please check all that apply ...)	658E(c)(2)(I)(ii)	May include requirements relating to nutrition, access to physical activity, or any other subject area determined by the State to be necessary to promote child development or to protect children's health and safety.	98.41(a)(1)(xii)	May include requirements relating to: (A) Nutrition (including age-appropriate feeding); (B) Access to physical activity; (C) Caring for children with special needs; or (D) Any other subject area determined by the Lead Agency to be necessary to promote child development or to protect children's health and safety.

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5.3.1-5.3.12		658E(c)(2)(I)(i)(XI)	The plan shall include—minimum health and safety training, to be completed pre-service or during an orientation period in addition to ongoing training, appropriate to the provider setting involved that addresses each of the requirements relating to matters described in subclauses (I) through (X), ...	98.44 (b)	The Lead Agency must describe in the Plan its established requirements for pre-service or orientation (to be completed within three months) and ongoing professional development for caregivers, teachers, and directors of child care providers of services for which assistance is provided under the CCDF that, to the extent practicable, align with the State framework: ...
5.4.1	Enforcement of licensing and health and safety requirements.	658E(c)(2)(K)(i)	Certification.—The plan shall include a certification that the State, not later than 2 years after the date of enactment of the Child Care and Development Block Grant Act of 2014, shall have in effect policies and practices, applicable to licensing or regulating child care providers that provide services for which assistance is made available in accordance with this subchapter and the facilities of those providers, that ...		
5.4.2	Inspections for licensed CCDF providers.	658E(c)(2)(K)(i)(II)	The plan shall include a certification—that require licensing inspectors (or qualified inspectors designated by the lead agency) of those child care providers and facilities to perform inspections, with—not less than 1 precursors inspection, for compliance with health, safety, and fire standards, of each such child care provider and facility in the State ... not less than annually, an inspection (which shall be unannounced) of each such child care provider and facility in the State for compliance with all child care licensing standards, which shall include an inspection for compliance with health, safety, and fire standards (inspectors may inspect for compliance with all 3 standards at the same time) ...	98.16(n)	A CCDF plan shall contain the following: ... (n) A description of monitoring and other enforcement procedures in effect to ensure that child care providers comply with applicable health and safety requirements pursuant to § 98.42; ...
				98.15(b)(10)	The Lead Agency shall include the following certifications in its CCDF Plan ... There are in effect monitoring policies and practices pursuant to § 98.42 ...
		658E(c)(2)(K)(i)(IV)	The plan shall include a certification—that require licensing inspectors (or qualified inspectors designated by the lead agency) of child care providers and facilities to perform an annual inspection of each license-exempt provider in the State receiving funds under this subchapter (unless the provider is an eligible child care provider as described in section 658P(6)(B)) for compliance with health, safety, and fire standards, at a time to be determined by the State.	98.42 (b)	Each Lead Agency shall certify in the Plan it has monitoring policies and practices applicable to all child care providers and facilities eligible to deliver services for which assistance is provided under this part.

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5.4.3	Inspections for license-exempt center based and family child care providers.	658E(c)(2)(K)(i)(IV)	The plan shall include a certification—that require licensing inspectors (or qualified inspectors designated by the lead agency) of child care providers and facilities to perform an annual inspection of each license-exempt provider in the State receiving funds under this subchapter (unless the provider is an eligible child care provider as described in section 658P(6)(B)) for compliance with health, safety, and fire standards, at a time to be determined by the State.	98.42 (b)	Each Lead Agency shall certify in the Plan it has monitoring policies and practices applicable to all child care providers and facilities eligible to deliver services for which assistance is provided under this part.
5.4.4	Inspections for license- exempt in home care (care in the child's own home) ... Formerly 5.3.3c ...	658E(c)(2)(K)(i)(IV)	The plan shall include a certification—that require licensing inspectors (or qualified inspectors designated by the lead agency) of child care providers and facilities to perform an annual inspection of each license-exempt provider in the State receiving funds under this subchapter (unless the provider is an eligible child care provider as described in section 658P(6)(B)) for compliance with health, safety, and fire standards, at a time to be determined by the State.	98.42 (b)	Each Lead Agency shall certify in the Plan it has monitoring policies and practices applicable to all child care providers and facilities eligible to deliver services for which assistance is provided under this part.
5.4.5	Ratio of licensing inspectors to facilities	658E(c)(2)(K)(i)(I)	The plan shall include a certification—that ensure that individuals who are hired as licensing inspectors in the State are qualified to inspect those child care providers and facilities and have received training in related health and safety requirements, and are trained in all aspects of the State's licensure requirements; ...	98.42(b)(1)	The Lead Agency shall: ... Ensure individuals who are hired as licensing inspectors are qualified to inspect those child care providers and facilities and have received training in related health and safety requirements appropriate to provider setting and age of children served. Training shall include, but is not limited to, those requirements described in §98.41 and all aspects of the State, Territory or Tribe's licensure requirements ...
5.4.6	To certify, describe the state/territory policies and practices regarding the ratio of licensing inspectors to child care providers (i.e. number of inspectors per number of child care providers) and facilities in the state/territory and include how the ratio is sufficient to conduct effective inspections on a timely basis.	658E(c)(2)(K)(i)(III)	The plan shall include a certification—that require the ratio of licensing inspectors to such child care providers and facilities in the State to be maintained at a level sufficient to enable the State to conduct inspections of such child care providers and facilities on a timely basis in accordance with Federal, State, and local law; and ...	98.42(b)(3)	The Lead Agency shall: ... Ensure the ratio of licensing inspectors to such child care providers and facilities is maintained at a level sufficient to enable the State, Territory, or Tribe to conduct effective inspections on a timely basis in accordance with the applicable Federal, State, Territory, Tribal, and local law; ...

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5.5.1	Background Check Requirements. In the table below, certify by checking that the state has policies, and is conducting checks for the required background check components, ensuring that these requirements are in place for all licensed, regulated, or registered child care providers and to all other providers eligible to deliver CCDF services	658 H(a)	In General.—A State that receives funds to carry out this subchapter shall have in effect—(1) requirements, policies, and procedures to require and conduct criminal background checks for child care staff members (including prospective child care staff members) of child care providers described in subsection (c)(1); and (2) licensing, regulation, and registration requirements, as applicable, that prohibit the employment of child care staff members as described in subsection (c).	98.43	... (a) (1) States, Territories, and Tribes, through coordination of the Lead agency with other State, territorial, and tribal agencies, shall have in effect: ... (i) Requirements, policies, and procedures to require and conduct criminal background checks for child care staff members (including prospective child care staff members) of all licensed, regulated, or registered child care providers and all child care providers eligible to deliver services for which assistance is provided under this part as described in paragraph (a)(2) of this section; (ii) Licensing, regulation, and registration requirements, as applicable, that prohibit the employment of child care staff members as described in paragraph (c) of this section; and (iii) Requirements, policies, and procedures in place to respond as expeditiously as possible to other States', Territories', and Tribes' requests for background check results in order to accommodate the 45 day timeframe required in paragraph (e)(1) of this section.
		658H(b)	... (b) Requirements.—A criminal background check for a child care staff member under subsection (a) shall include— ...	98.43(b)	A criminal background check for a child care staff member under paragraph (a) of this section shall include: ...
		658h(b)(1)	... (1) a search of the State criminal and sex offender registry or repository in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(i)	... (3) A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (i) State criminal registry or repository, with the use of fingerprints being: ... (A) Required in the State where the staff member resides; ...
		658h(b)(1)	... (1) a search of the State criminal and sex offender registry or repository in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(ii)	... (3) A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (B) (ii) State sex offender registry or repository ...
		658h(b)(2)	... (2) a search of State-based child abuse and neglect registries and databases in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(iii)	... (3) A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (B) (iii) State-based child abuse and neglect registry and database.

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		658h(b)(4)	... (4) a Federal Bureau of Investigation fingerprint check using the Integrated Automated Fingerprint Identification System; ...	98.43(b)(1)	A Federal Bureau of Investigation fingerprint check using Next Generation Identification; ...
		658h(b)(3)	... (3) a search of the National Crime Information Center; ...	98.43(b)(2)	A search of the National Crime Information Center's National Sex Offender Registry; ...
		658h(b)(5)	... 5) a search of the National Sex Offender Registry established under the Adam Walsh Child Protection and Safety Act of 2006 (42 U.S.C. 16901 et seq.) ...	98.43(b)(2)	A search of the National Crime Information Center's National Sex Offender Registry; ...
		658h(b)(1)	... (1) a search of the State criminal and sex offender registry or repository in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(i)	A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (i) State criminal registry or repository, with the use of fingerprints being: ... (B) Optional in other States; ...
		658h(b)(1)	... (1) a search of the State criminal and sex offender registry or repository in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(i)	A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (ii) State sex offender registry or repository; ...
		658h(b)(2)	... (2) a search of State-based child abuse and neglect registries and databases in the State where the child care staff member resides, and each State where such staff member resided during the preceding 5 years; ...	98.43(b)(3)(i)	A search of the following registries, repositories, or databases in the State where the child care staff member resides and each State where such staff member resided during the preceding five years: ... (iii) State-based child abuse and neglect registry and database.
5.5.2	Procedures for a Provider to Request a Background Check ...	658H(d)(3)(A)	... 3) Prospective Staff Members.—Subject to paragraph (4), in the case of an individual who is a prospective child care staff member on or after that date of enactment, the provider shall submit such a request—(A) prior to the date the individual becomes a child care staff member of the provider; ...	98.43(b)(3)(i)	... (4) A prospective staff member may begin work for a child care provider described in paragraph (a)(2)(i) of this section after completing either the check described at paragraph (b)(1) or (b)(3)(i) of this section in the State where the prospective staff member resides. Pending completion of all background check components in paragraph (b) of this section, the staff member must be supervised at all times by an individual who received a qualifying result on a background check described in paragraph (b) of this section within the past five years.
5.5.2 b	What are the fees and how do you ensure that these fees do not exceed the actual cost of processing and administering the background checks? Lead Agencies can report that no fees are charged if applicable (98.43(f)).	658H(f)	Fees for Background Checks.— ... Fees that a State may charge for the costs of processing applications and administering a criminal background check as required by this section shall not exceed the actual costs to the State for the processing and administration.	98.43(b)(3)(i)	Fees for background checks ... Fees that a State, Territory, or Tribe may charge for the costs of processing applications and administering a criminal background check as required by this section shall not exceed the actual costs for the processing and administration.

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5.5.3	Procedures for a Lead Agency to Respond to and Complete a Background Check ...	658H)e)	Background Check Results and Appeals.— ... (1) Background Check Results.—The State shall carry out the request of a child care provider for a criminal background check as expeditiously as possible, but not to exceed 45 days after the date on which such request was submitted, and shall provide the results of the criminal background check to such provider and to the current or prospective staff member.	98.43(b)(3)(i)	Requirements, policies, and procedures in place to respond as expeditiously as possible to other States', Territories', and Tribes' requests for background check results in order to accommodate the 45 day timeframe required in paragraph (e)(1) of this section ...
5.5.4	State designation as a "Compact State" and participation in the National Fingerprint File program.				
5.5.5	Procedures for a Lead Agency to Respond to Interstate Background Checks:			98.43(a)(iii)	Requirements, policies, and procedures in place to respond as expeditiously as possible to other States', Territories', and Tribes' requests for background check results in order to accommodate the 45 day timeframe required in paragraph (e)(1) of this section.
5.5.6	Consumer Education Website Links to Interstate Background Check Processes			98.43(g)	The State or Territory must ensure that its policies and procedures under this section, including the process by which a child care provider or other State or Territory may submit a background check request, are published in the website of the State or Territory as described in § 98.33(a) and the website of local lead agencies

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5.5.7	Procedures for disqualifying staff members.	658H(c)	<p>... 1) Child Care Staff Members.—A child care staff member shall be ineligible for employment by a child care provider that is receiving assistance under this subchapter if such individual— (A) refuses to consent to the criminal background check described in subsection (b); (B) knowingly makes a materially false statement in connection with such criminal background check; (C) is registered, or is required to be registered, on a State sex offender registry or repository or the National Sex Offender Registry established under the Adam Walsh Child Protection and Safety Act of 2006 (42 U.S.C. 16901 et seq.); or (D) has been convicted of a felony consisting of— (i) murder, as described in section 1111 of title 18, United States Code; (ii) child abuse or neglect; (iii) a crime against children, including child pornography; (iv) spousal abuse; (v) a crime involving rape or sexual assault; (vi) kidnapping; (vii) arson; (viii) physical assault or battery; or (ix) subject to subsection (e)(4), a drug-related offense committed during the preceding 5 years; or (E) has been convicted of a violent misdemeanor committed as an adult against a child, including the following crimes: child abuse, child endangerment, sexual assault, or of a misdemeanor involving child pornography ...</p> <p>(2) Child Care Providers.—A child care provider described in subsection (i)(1) shall be ineligible for assistance provided in accordance with this subchapter if the provider employs a staff member who is ineligible for employment under paragraph (1).</p>	98.43(b)(3)(i)	<p>A child care staff member shall be ineligible for employment by child care providers of services for which assistance is made available in accordance with this part, if such individual:</p> <p>(i) Refuses to consent to the criminal background check described in paragraph (b) of this section;</p> <p>(ii) Knowingly makes a materially false statement in connection with such criminal background check;</p> <p>(iii) Is registered, or is required to be registered, on a State sex offender registry or repository or the National Sex Offender Registry; or</p> <p>(iv) Has been convicted of a felony consisting of— (A) Murder, as described in section 1111 of title 18, United States Code; (B) Child abuse or neglect; (C) A crime against children, including child pornography; (D) Spousal abuse; (E) A crime involving rape or sexual assault; (F) Kidnapping; (G) Arson; (H) Physical assault or battery; or (I) Subject to paragraph (e)(4) of this section, a drug-related offense committed during the preceding 5 years; or</p> <p>(v) Has been convicted of a violent misdemeanor committed as an adult against a child, including the following crimes: child abuse, child endangerment, sexual assault, or of a misdemeanor involving child pornography ...</p>

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5.5.8	Appeals Processes for Background Checks ...	658H(e)(2)	<p>Privacy.—</p> <p>... (A) In General.—The State shall provide the results of the criminal background check to the provider in a statement that indicates whether a child care staff member (including a prospective child care staff member) is eligible or ineligible for employment described in subsection (c), without revealing any disqualifying crime or other related information regarding the individual.</p> <p>(B) Ineligible Staff Member.—If the child care staff member is ineligible for such employment due to the background check, the State will, when providing the results of the background check, include information related to each disqualifying crime, in a report to the staff member or prospective staff member.</p> <p>(C) Public Release of Results.—No State shall publicly release or share the results of individual background checks, except States may release aggregated data by crime as listed under subsection (c)(1)(D) from background check results, as long as such data is not personally identifiable information.</p>	98.43(b)(3)(i)	<p>... (2) States, Territories, and Tribes shall ensure the privacy of background check results by:</p> <p>(i) Providing the results of the criminal background check to the provider in a statement that indicates whether a child care staff member (including a prospective child care staff member) is eligible or ineligible for employment described in paragraph (c)(1) of this section, without revealing any disqualifying crime or other related information regarding the individual.</p> <p>(ii) If the child care staff member is ineligible for such employment due to the background check, the State, Territory, or Tribe will, when providing the results of the background check, include information related to each disqualifying crime, in a report to the staff member or prospective staff member, along with information on the opportunity to appeal, described in paragraph (e)(3) of this section .</p> <p>(iii) No State, Territory, or Tribe shall publicly release or share the results of individual background checks, except States and Tribes may release aggregated data by crime as listed under paragraph (c)(1)(iv) of this section from background check results, as long as such data is not personally identifiable information.</p> <p>(3) States, Territories, and Tribes shall provide for a process by which a child care staff member (including a prospective child care staff member) may appeal the results of a criminal background check conducted under this section to challenge the accuracy or completeness of the information contained in such member's criminal background report. The State, Territory, and Tribe shall ensure that:</p> <p>(i) Each child care staff member is given notice of the</p>
5.6.1-5.6.5	Exemptions for Relative Providers ...	658P Definitions	A child care provider that is 18 years of age or older who provides child care services only to eligible children who are, by affinity or consanguinity, or by court decree, the grandchild, great grandchild, sibling (if such provider lives in a separate residence), niece, or nephew of such provider, if such provider complies with any applicable requirements that govern child care provided by the relative involved.	98.16 (l)	<p>A CCDF plan shall contain the following:</p> <p>... and any exemptions to those requirements for relative providers made in accordance with § 98.42(c);</p> <p>...</p>

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6.1.1	Each state or territory must describe their professional development framework for training, professional development, and post-secondary education for caregivers, teachers and directors, which is developed in consultation with the State Advisory Council on Early Childhood Education and Care or similar coordinating body. The framework should include these components: (1) professional standards and competencies, (2) career pathways, (3) advisory structures, (4) articulation, (5) workforce information, and (6) financing (98.44(a)(3)). Flexibility is provided on the strategies, breadth, and depth with which states and territories will develop and implement their framework.	658E(c)(2)(G)(i)	In General— ... The plan shall describe the training and professional development requirements that are in effect within the State designed to enable child care providers to promote the social, emotional, physical, and cognitive development of children and to improve the knowledge and skills of the child care workforce. Such requirements shall be applicable to child care providers that provide services for which assistance is provided in accordance with this subchapter.	98.44 (a)	The Lead Agency must describe in the Plan the State or Territory framework for training, professional development, and postsecondary education for caregivers, teachers, and directors, including those working in school-age care
6.1.2	Describe how the state/territory developed its professional development framework in consultation with the State Advisory Council on Early Childhood Education and Care (if applicable) or similar coordinating body if there is no SAC that addresses the professional development, training, and education of child care providers and staff.	658E(c)(2)(G)(ii)I)	The plan shall provide an assurance that such training and professional development— ... shall be developed in consultation with the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))), and may engage training providers in aligning training opportunities with the State's training framework; ...	98.44(a)(1)	... (a) The Lead Agency must describe in the Plan the State or Territory framework for training, professional development, and postsecondary education for caregivers, teachers, and directors, including those working in school-age care, that: ... (1) Is developed in consultation with the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i))) or similar coordinating body; ...
6.1.3	Describe how the framework improves the quality, diversity, stability and retention of caregivers, teachers and directors.	658E(c)(2)(G)(ii)I)	The plan shall provide an assurance that such training and professional development—shall be conducted on an ongoing basis, provide for a progression of professional development (which may include encouraging the pursuit of postsecondary education), reflect current research and best practices relating to the skills necessary for the child care workforce to meet the developmental needs of participating children, and improve the quality of, and stability within, the child care workforce; ...	98.44(a)(7)	... (a) The Lead Agency must describe in the Plan the State or Territory framework for training, professional development, and postsecondary education for caregivers, teachers, and directors, including those working in school-age care, that: ... (7) Improves the quality, diversity, stability, and retention (including financial incentives and compensation improvements) of caregivers, teachers, and directors.

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6.2.1	Describe how the state/territory incorporates into training and professional development opportunities, the knowledge and application of its early learning and developmental guidelines (where applicable); its health and safety standards (as described in section 5); and social-emotional/behavioral and early childhood mental health intervention models, which can include positive behavior intervention and support models that reduce the likelihood of suspension and expulsion of children (as described in Section 2 of the Pre-Print) (98.44(b)).	658G(b)(1)(C)	Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State: (1) Supporting the training and professional development of the child care workforce through activities such as those included under section 658E(c)(2)(G), in addition to—(C)including effective behavior management strategies and training, including positive behavior interventions and support models, that promote positive social and emotional development and reduce challenging behaviors, including reducing expulsions of preschool-aged children for such behaviors; ...	98.15(a)(7)	The Lead Agency shall include the following assurances in its CCDF Plan ... (7) Training and professional development requirements comply with § 98.44 and are applicable to caregivers, teaching staff, and directors working for child care providers of services for which assistance is provided under the CCDF; ...
6.2.2	Describe how the state/territory's training and professional development are accessible to providers supported through Indian tribes or tribal organizations receiving CCDF funds (as applicable) (98.44(b)(2)(vi)).	658E(c)(2)(G)(ii)(IV)	The plan shall provide an assurance that such training and professional development— ... shall be accessible to providers supported through Indian tribes or tribal organizations that receive assistance under this subchapter; ...	98.16(p)	A CCDF Plan shall contain the following: ... (p) A description of training and professional development requirements for caregivers, teaching staff, and directors of providers of services for which assistance is provided in accordance with § 98.44; ...
				98.44(b)(2)(vi)	... (b) The Lead Agency must describe in the Plan its established requirements for pre-service or orientation (to be completed within three months) and ongoing professional development for caregivers, teachers, and directors of child care providers of services for which assistance is provided under the CCDF that, to the extent practicable, align with the State framework: ... (2) Ongoing, accessible professional development, aligned to a progression of professional development, including the minimum annual requirement for hours of training and professional development for eligible caregivers, teachers and directors, appropriate to the setting and age of children served, that: ... (vi) Shall be accessible to caregivers, teachers, and directors supported through Indian tribes or tribal organizations that receive assistance under this subchapter.

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6.2.3	States/territories are required to facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system (98.16 (dd)). Describe how the state/territory will recruit and facilitate the participation of providers; ...	658E(c)(2)(G)(ii)(V)	The plan shall provide an assurance that such training and professional development, to the extent practicable, are appropriate for a population of children that includes— aa) different age groups (bb) English learners (cc) children with disabilities (dd) Native Americans, including Indians, as the term is defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b) (including Alaska Natives within the meaning of that term), and Native Hawaiians (as defined in section 6207 of the Elementary and Secondary Education Act of 1965).	98.16(dd)	A CCDF Plan shall contain the following: ... A description of how the Lead Agency will provide outreach and services to eligible families with limited English proficiency and persons with disabilities and facilitate participation of child care providers with limited English proficiency and disabilities in the subsidy system; ...
6.2.4	Describe how the state/territory's training and professional development requirements are appropriate, to the extent practicable, for child care providers who care for children receiving child care subsidies, including children of different age groups (such as specialized credentials for providers who care for infants and/or school-age children); English-language learners; children with developmental delays and disabilities; and Native Americans, including Indians and Native Hawaiians (98.44(b)(2)(iv)).	658E(c)(2)(G)(ii)(V)	The plan shall provide an assurance that such training and professional development, to the extent practicable, are appropriate for a population of children that includes— aa) different age groups (bb) English learners (cc) children with disabilities (dd) Native Americans, including Indians, as the term is defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b) (including Alaska Natives within the meaning of that term), and Native Hawaiians (as defined in section 6207 of the Elementary and Secondary Education Act of 1965).	98.44(b)(2)(iv)	The Lead Agency must describe in the Plan the ... 2) Ongoing, accessible professional development, aligned to a progression of professional development, including the minimum annual requirement for hours of training and professional development for eligible caregivers, teachers and directors, appropriate to the setting and age of children served and reducing expulsions and suspensions of preschool-aged and school-aged children; (iv) To the extent practicable, are appropriate for a population of children that includes: (A) Different age groups; (B) English learners; (C) Children with developmental delays and disabilities; and (D) Native Americans, including Indians, as the term is defined in section 4 of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450b) (including Alaska Natives within the meaning of that term), and Native Hawaiians (as defined in section 6207 of the Elementary and Secondary Education Act of

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6.2.5	The Lead Agency must provide training and technical assistance to providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children and families experiencing homelessness (658E(c)(3)(B)(i)).	658E(c)(3)(B)(i)	In General.— ... The State shall use amounts provided to the State for each fiscal year under this subchapter for child care services on a sliding fee scale basis, activities that improve the quality or availability of such services, activities that improve access to child care services, including the use of procedures to permit enrollment (after an initial eligibility determination) of homeless children while required documentation is obtained, training and technical assistance on identifying and serving homeless children and their families, and specific outreach to homeless families, and any other activity that the State determines to be appropriate to meet the purposes of this subchapter (which may include an activity described in clause (ii)) with priority being given for services provided to children of families with very low family incomes (taking into consideration family size) and to children with special	98.51(b)	Lead Agencies shall expend funds on activities that improve access to quality child care services for children experiencing homelessness, including: ... (b) Training and technical assistance for providers and appropriate Lead Agency (or designated entity) staff on identifying and serving children experiencing homelessness and their families; and ...
6.2.6	Lead Agencies must develop and implement strategies to strengthen the business practices of child care providers to expand the supply and to improve the quality of child care services (98.16(z)). Describe the state/territory's strategies to strengthen providers' business practices, which can include training and/or TA efforts.	658E(c)(2)(V)	Business Technical Assistance.— ... The plan shall describe how the State will develop and implement strategies to strengthen the business practices of child care providers to expand the supply, and improve the quality of, child care services.	98.16(z)	A CCDF Plan shall contain the following: ... A description of how the Lead Agency develops and implements strategies to strengthen the business practices of child care providers to expand the supply, and improve the quality of, child care services; ...
6.3.1	Training and professional development of the child care workforce ...			98.53(a)(1)	Supporting the training, professional development and postsecondary education of the child care workforce as part of a progression of professional development.
6.3.2	If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measurable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)).			98.53(f)(3)	... (f) States shall annually prepare and submit reports, including a quality progress report and expenditure report, to the Secretary, which must be made publicly available and shall include: ... (3) The measures the State will use to evaluate its progress in improving the quality of child care programs and services in the State, and data on the extent to which the State had met these measures; ...

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6.4.1	States and territories are required to develop, maintain, or implement early learning and developmental guidelines that are appropriate for children in a forward progression from birth to kindergarten entry (i.e., birth-to-three, three-to-five, birth-to-five), describing what children should know and be able to do and covering the essential domains of early childhood development. These early learning and developmental guidelines are to be used statewide and territory-wide by child care providers and in the development and implementation of training and professional development (658E(c)(2)(T)). The required essential domains for these guidelines are cognition, including language arts and mathematics; social, emotional, and physical development; and approaches toward learning (98.15(a)(9)). At the option of the state/territory, early learning and developmental guidelines for out-of-school time may be developed. Note: States and territories may use the quality set-aside, discussed in section 7, to improve on the development or implementation of early learning and developmental guidelines.	658E(c)(2)(T)(i)	Early Learning and Developmental Guidelines.— ... (i) In General.—The plan shall include an assurance that the State will maintain or implement early learning and developmental guidelines (or develop such guidelines if the State does not have such guidelines as of the date of enactment of the Child Care and Development Block Grant Act of 2014) that are appropriate for children from birth to kindergarten entry, describing what such children should know and be able to do, and covering the essential domains of early childhood development for use statewide by child care providers. Such guidelines shall— ... (I) be research-based, developmentally appropriate, and aligned with entry to kindergarten; (II) be implemented in consultation with the state educational agency and the State Advisory Council on Early Childhood Education and Care designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)); and (III) be updated as determined by the State.	98.15(a)(9)	The Lead Agency shall include the following assurances in its CCDF Plan... The State will maintain or implement early learning and developmental guidelines that are developmentally appropriate for all children from birth to kindergarten entry, describing what such children should know and be able to do, and covering the essential domains of early childhood development (cognition, including language arts and mathematics; social, emotional and physical development; and approaches toward learning) for use statewide by child care providers and caregivers.
6.4.1a	Describe how the state/territory's early learning and developmental guidelines address the following requirements			98.15(a)(9)(i)	... (i) Be research-based and developmentally, culturally, and linguistically appropriate, building in a forward progression, and aligned with entry to kindergarten; ...
6.4.1a	Describe how the state/territory's early learning and developmental guidelines address the following requirements			98.15(a)(9)(ii)	... (ii) Be implemented in consultation with the State educational agency and the State Advisory Council on Early Childhood Education and Care (designated or established pursuant to section 642B(b)(1)(A)(i) of the Head Start Act (42 U.S.C. 9837b(b)(1)(A)(i)) or similar coordinating body, and in consultation with child development and content experts; and ...
6.4.1c	Describe how the state/territory's early learning and developmental guidelines are updated and include the date first issued and/or the frequency of updates.			98.15(a)(9)(iii)	Be updated as determined by the State.

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6.4.2	Describe how the state/territory's early learning and developmental guidelines are used.	658E(c)(2)(T)(ii)(II)	Prohibition on Use of Funds.— ... The plan shall include an assurance that funds received by the State to carry out this subchapter will not be used to develop or implement an assessment for children that— (I) will be the sole basis for a child care provider being determined to be ineligible to participate in the program carried out under this subchapter ... (II) will be used as the primary or sole basis to provide a reward or sanction for an individual provider ... (III) will be used as the primary or sole method for assessing program effectiveness ... (IV) ... will be used to deny children eligibility to participate in the program carried out under this subchapter.	98.15(a)(10)	Sec. 98.15 Assurances and certifications ... (a) The Lead Agency shall include the following assurances in its CCDF Plan: ... (10) Funds received by the State to carry out this subchapter will not be used to develop or implement an assessment for children that— (i) Will be the primary or sole basis for a child care provider being determined to be ineligible to participate in the program carried out under this subchapter; (ii) Will be used as the primary or sole basis to provide a reward or sanction for an individual provider; (iii) Will be used as the primary or sole method for assessing program effectiveness; or (iv) Will be used to deny children eligibility to participate in the program carried out under this subchapter.
6.4.3	If quality funds are used to develop, maintain, or implement early learning and development guidelines, describe the measurable indicators that will be used to evaluate the state/territory's progress in improving the quality of child care programs and services and the data on the extent to which the state/territory has met these measures (98.53(f)(3)).			98.53(f)(3)	... (f) States shall annually prepare and submit reports, including a quality progress report and expenditure report, to the Secretary, which must be made publicly available and shall include: ... (3) The measures the State will use to evaluate its progress in improving the quality of child care programs and services in the State, and data on the extent to which the State had met these measures; ...
7.1.1	Lead Agencies must invest in quality activities based on an assessment of the state/territory's needs to carry out those activities. Lead Agencies have the flexibility to design an assessment of their quality activities that best meet their needs, including how often they do the assessment. Describe your state/territory assessment process, including the frequency of assessment ...	658G(a)(1)	Reservation for Activities Relating to the Quality of Child Care Services.— ... A State that receives funds to carry out this subchapter for a fiscal year referred to in paragraph (2) shall reserve and use a portion of such funds, in accordance with paragraph (2), for activities provided directly, or through grants or contracts with local child care resource and referral organizations or other appropriate entities, that are designed to improve the quality of child care services and increase parental options for, and access to, high-quality child care, and is in alignment with a Statewide assessment of the State's needs to carry out such services and care, provided in accordance with this subchapter.	98.50(c)(1)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (1) Must be in alignment with an assessment of the Lead Agency's need to carry out such services and care as required at § 98.53(a); ...
7.1.2	Describe the findings of the assessment and if any overarching goals for quality improvement were identified.				

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7.2.1	Check the quality improvement activities in which the state/territory is investing.	658(b)(1-10)	Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State: ...	98.53 (b)	Pursuant to § 98.16(h, j), the Lead Agency shall describe in its Plan the activities it will fund under this section.
7.3.1	Does your state/territory have a quality rating and improvement system?	658G(b)(3)	Developing, implementing, or enhancing a tiered quality rating system for child care providers and services, which may include ...	98.53(a)(3)	Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services to meet consumer education requirements at § 98.33, which may: ...
7.3.2	Indicate how providers participate in the state or territory's QRIS.				
7.3.3	Identify how the state or territory supports and assesses the quality of child care providers.	658G(b)(3)(A)	... (b) Activities.—Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State: ... (3) Developing, implementing, or enhancing a tiered quality rating system for child care providers and services, which may— (A) support and assess the quality of child care providers in the State; ...	98.53(a)(3)(i)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (3) ... Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services to meet consumer education requirements at § 98.33, which may: ... (i) Support and assess the quality of child care providers in the State, Territory, or Tribe; ...
7.3.4	Do the state/territory's quality standards build on its licensing requirements and other regulatory requirements?	658G(b)(3)(B)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (3) Developing, implementing, or enhancing a tiered quality rating system for child care providers and services, which may— ... (B) build on State licensing standards and other State regulatory standards for such providers; ...	98.53(a)(3)(ii)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (3) ... Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services to meet consumer education requirements at § 98.33, which may: ... (ii) Build on licensing standards and other regulatory standards for such providers ...

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7.3.5	Does the state/territory provide financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services that are provided through the QRIS.	658G(b)(3)(F)	... provide, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services; ...	98.53(a)(3)(vi)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (3) ... Developing, implementing, or enhancing a tiered quality rating and improvement system for child care providers and services to meet consumer education requirements at § 98.33, which may: ... (vi) Provide, to the maximum extent practicable, financial incentives and other supports designed to expand the full diversity of child care options and help child care providers improve the quality of services; and ...
7.3.6	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); ...

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7.4.1	What activities are being implemented by the state/territory to improve the supply (see also section 4) and quality of child care programs and services for infants and toddlers? Check all that apply and describe.	658G(b)(4)	... (b) Activities.—Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (4) Improving the supply and quality of child care programs and services for infants and toddlers through activities, which may include ...	98.53(a)(4)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (4) Improving the supply and quality of child care programs and services for infants and toddlers through activities, which may include: ... (i) Establishing or expanding high-quality community or neighborhood-based family and child development centers, which may serve as resources to child care providers in order to improve the quality of early childhood services provided to infants and toddlers from low-income families and to help eligible child care providers improve their capacity to offer high-quality, age-appropriate care to infants and toddlers from low-income families; (ii) Establishing or expanding the operation of community or neighborhood-based family child care networks; (iii) Promoting and expanding child care providers' ability to provide developmentally appropriate services for infants and toddlers through, but not limited to: (A) Training and professional development for caregivers, teachers and directors, ...
7.4.2	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services for infants and toddlers within the state/territory and the data on the extent to which the state or territory has met these measures.			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f) ...
7.5.1	What are the services provided by the local or regional child care resource and referral agencies?				

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7.5.2	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.	658G(b)(5)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (5) Establishing or expanding a statewide system of child care resource and referral services.	98.53(a)(5)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); ...
7.6.1	What strategies does your state/territory fund with CCDF quality funds to facilitate child care providers' compliance with state/territory requirements for inspection, monitoring, training, and health and safety and with state/territory licensing standards?	658G(b)(6)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (6) Facilitating compliance with State requirements for inspection, monitoring, training, and health and safety, and with State licensing standards.	98.53(a)(6)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (6) Facilitating compliance with Lead Agency requirements for inspection, monitoring, training and health and safety, and with licensing standards ...
7.6.2	Does the state/territory provide financial assistance to support child care providers in complying with minimum health and safety requirements?	658G(b)(6)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (6) Facilitating compliance with State requirements for inspection, monitoring, training, and health and safety, and with State licensing standards.	98.53(a)(6)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (6) Facilitating compliance with Lead Agency requirements for inspection, monitoring, training and health and safety, and with licensing standards ...
7.6.3	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); ...

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7.7.1	Describe how the state/territory measures the quality and effectiveness of child care programs and services currently being offered, including any tools used to measure child, family, teacher, classroom, or provider improvements, and how the state/territory evaluates how those tools positively impact children.	658G(b)(7)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (7) Evaluating and assessing the quality and effectiveness of child care programs and services offered in the State, including evaluating how such programs positively impact children.	98.53(a)(7)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (6) Facilitating compliance with Lead Agency requirements for inspection, monitoring, training and health and safety, and with licensing standards ... (7) Evaluating and assessing the quality and effectiveness of child care programs and services offered, including evaluating how such programs positively impact children.
7.7.2	Describe the measurable indicators of progress relevant to this use of funds that the State/Territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); and ...
7.8.1	Does the state/territory support child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality?	658G(b)(8)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (8) Supporting child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high quality.	98.53(a)(8)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (6) Facilitating compliance with Lead Agency requirements for inspection, monitoring, training and health and safety, and with licensing standards ... (8) Supporting child care providers in the voluntary pursuit of accreditation by a national accrediting body with demonstrated, valid, and reliable program standards of high-quality ...
7.8.2	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures.			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); and ...

FY 2022–2024 CCDF Preprint Question Number	FY 2022–2024 CCDF Preprint Question	Citation from Statute	CCDBG Statutory Provision	Citation from Final Rule	Final Rule Provision
7.9.1	Describe how the state/territory supports state/territory or local efforts to develop or adopt high-quality program standards, including standards for infants and toddlers, preschoolers, and/or school-age children.	658G(b)(9)	... (b) Activities.— ... Funds reserved under subsection (a) shall be used to carry out no fewer than one of the following activities that will improve the quality of child care services provided in the State ... (9) Supporting State or local efforts to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development.	98.53(a)(9)	The Lead Agency must expend funds from each fiscal year's allotment on quality activities pursuant to §§ 98.50(b) and 98.83(g) in accordance with an assessment of need by the Lead Agency. Such funds must be used to carry out at least one of the following quality activities to improve the quality of child care services for all children, regardless of CCDF receipt, in accordance with paragraph (6) Facilitating compliance with Lead Agency requirements for inspection, monitoring, training and health and safety, and with licensing standards ... (9) Supporting Lead Agency or local efforts to develop or adopt high-quality program standards relating to health, mental health, nutrition, physical activity, and physical development.
7.9.2	Describe the measurable indicators of progress relevant to this use of funds that the state/territory will use to evaluate its progress in improving the quality of child care programs and services within the state/territory and the data on the extent to which the state or territory has met these measures ...			98.50(c)(2)	... (c) Funds expended from each fiscal year's allotment on quality activities pursuant to paragraph (b) of this section: ... (2) Must include measurable indicators of progress in accordance with § 98.53(f); and ...
7.10.1	7.10.1 List and describe any other activities that the state/territory provides to improve the quality of child care services for infants and toddlers, preschool-aged, and school-aged children, which may include consumer and provider education activities, and also describe the measurable indicators of progress for each activity relevant to this use of funds that the state/territory will use to evaluate its progress in improving provider preparedness, child safety, child well-being, or kindergarten entry and the data on the extent to which the state or territory has met these measures.				

FY 2022–2024 CCDF Preprint Question Number	FY 2022–2024 CCDF Preprint Question	Citation from Statute	CCDBG Statutory Provision	Citation from Final Rule	Final Rule Provision
8.1.1	Lead Agencies must ensure the integrity of the use of funds through sound fiscal management and must ensure that financial practices are in place (98.68 (a)(1)). Describe the processes in place for the Lead Agency to ensure sound fiscal management practices for all expenditures of CCDF funds ...			98.68 (a)(1)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: (1) Processes to ensure sound fiscal management; (2) Processes to identify areas of risk; (3) Processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity; and] [4)] Regular evaluation of internal control activities.
8.1.2	Check and describe the processes that the Lead Agency will use to identify risk in their CCDF program (98.68(a)(2)).			98.16(cc)	A CCDF Plan shall contain the following: ... (cc) A description of internal controls to ensure integrity and accountability, processes in place to investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud, and procedures in place to document and verify eligibility, pursuant to § 98.68; ...
				98.68 (a)(2)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: ... (2) Processes to identify areas of risk; ...
8.1.3	Check and describe how the Lead Agency ensures that all providers for children receiving CCDF funds and Lead Agency staff members and any staff members in other agencies who administer the CCDF program through MOUs, grants and contracts are informed and trained regarding program requirements and integrity (98.68 (a)(3)) ...			98.68 (a)(3)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: ... (3) Processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity ...
				98.68(a)(3)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: Processes to train child care providers and staff of the Lead Agency and other agencies engaged in the administration of CCDF about program requirements and integrity; ...

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8.1.4	Describe the process in place to regularly evaluate Lead Agency internal control activities (98.68 (a)(4)) ...			98.68 (a)(4)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program. These shall include: ... [4)] Regular evaluation of internal control activities.
8.1.5	Check and describe any activities that the Lead Agency conducts to ensure program integrity.			98.68 (a)	Lead Agencies are required to describe in their Plan effective internal controls that are in place to ensure integrity and accountability, while maintaining continuity of services, in the CCDF program.
8.1.6	Check and describe all activities that the Lead Agency uses to investigate and recover improper payments due to fraud, unintentional program violations and agency errors.			98.68 (b)(2)	Lead Agencies are required to describe in their Plan the processes that are in place to: (1) Identify fraud or other program violations, which may include, but are not limited to the following: (i) Record matching and database linkages; (ii) Review of attendance and billing records; (iii) Quality control or quality assurance reviews; and (iv) Staff training on monitoring and audit processes. ... (2) Investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud.
8.1.7	What type of sanction will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?			98.68 (b)(2)	Lead Agencies are required to describe in their Plan the processes that are in place to: (1) Identify fraud or other program violations, which may include, but are not limited to the following: (i) Record matching and database linkages; (ii) Review of attendance and billing records; (iii) Quality control or quality assurance reviews; and (iv) Staff training on monitoring and audit processes. (2) Investigate and recover fraudulent payments and to impose sanctions on clients or providers in response to fraud.